FRAUDULENT CREDENTIALS: FEDERAL EMPLOYEES

HEARING

BEFORE THE

SUBCOMMITTEE ON
HEALTH AND LONG-TERM CARE

OF THE

SELECT COMMITTEE ON AGING
HOUSE OF REPRESENTATIVES

NINETY-NINTH CONGRESS

SECOND SESSION

APRIL 18, 1986

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CONTENTS

	Page
Opening statement of Chairman Claude Pepper	1
Question and answer session	4

APPENDIX

Appendix I—Responses to Chairman Pepper's inquiry to Federal Inspectors General:	
Department of Agriculture	9
Department of Commerce	11
Department of Defense	12
Department of Interior	14
Department of Justice	15
Department of Transportation	16
Department of the Treasury	17
National Aeronautics and Space Administration	19
Nuclear Regulatory Commission	23
Office of Personnel Management	24
United States Postal Service	33
Veterans' Administration	34
Appendix II—Responses to Chairman Pepper's inquiry to Federal employees alleged to be in possession of fraudulent credentials	37

FRAUDULENT CREDENTIALS: FEDERAL EMPLOYEES

FRIDAY, APRIL 18, 1986

HOUSE OF REPRESENTATIVES,
SELECT COMMITTEE ON AGING,
SUBCOMMITTEE ON HEALTH AND LONG-TERM CARE,
Washington, DC.

The subcommittee met, pursuant to notice, at 10:30 a.m., in room H-313, the Capitol, Hon. Claude Pepper (chairman of the subcommittee) presiding.

OPENING STATEMENT OF CHAIRMAN CLAUDE PEPPER

Mr. PEPPER. The subcommittee will come to order, please.

Something like 2 years ago, our Subcommittee on Health and Long-Term Care of the House Select Committee on Aging, upon the rumors and reports we had received, held a hearing about false medical certificates or degrees that were being obtained from an offshore university or medical school and sold to people who wanted to appear to be doctors in the United States.

At that hearing we had a witness who testified that he had obtained about 125 false medical degrees from a university in the Dominican Republic. He got about $25,000 apiece for obtaining those bogus degrees for these would-be doctors.

He reported that altogether he obtained about 125 of these false degrees. We found one case where a man had obtained one of these false degrees, somehow or other had ingratiated himself into the good will and confidence of a hospital, and had risen to the position of the one who administers anesthesia to patients who are being operated upon.

On one occasion this so-called anesthetist, who wasn't an anesthetist at all but had one of these false degrees that said he was on duty while an operation was being performed upon a patient, a man, by regular doctors and nurses. Suddenly, some of the doctors or nurses discovered that the patient's heart had stopped. They turned immediately, of course, from the operation to tell him to restore the operation of the heart. They finally got it restored but it had stopped 4 minutes. That stoppage was so long that there was very severe brain damage sustained by the patient, who was never able to recover from it.

We found thousands—I can't give the exact figure, about 10,000 people in the United States who have obtained these bogus medical degrees.

In the case I talked about in the Dominican Republic institution, all the would-be recipients, all the candidates for the degree of a doctor of medicine, had to do was to pay the $25,000 to this man, the one who managed it all. At the time of the commencement in the Dominican Republic candidate would appear, sit with appropriate dignitaries up on the platform, and receive his doctor of medicine degree.

And along with his doctor of medicine degree he would receive a folio showing all the courses that he had taken at that medical school, and all the good grades that he had made, and all the commendations that his professors had given his excellent performance as a student. But these were the courses he had never taken, these were the grades he never made, these were not his professors, these were not their comments, and the like.

Well, we introduced legislation dealing with this. That led us on to a further exploration in the field of fraudulent procurement of evidence of professional school and professional qualification. We discovered a rather remarkable man named Geruntino. He was in prison, a Federal prison, having been convicted of operating one of these diploma mills and operating fraudulently through the mail in a conspiratorial way otherwise. He was under a 5-year sentence, but before sentencing he had made $2 million.

He testified before our subcommittee. We brought him here as a witness. He testified that he made $2 million. I asked him, I said:

Mr. Geruntino, aside from the humiliation of being convicted for a crime and being imprisoned in a Federal penitentiary, you have done pretty well to make $2 million out of this deal in which you have been involved.

Incidentally, that man operated through so-called universities, one in Arizona, one in Utah, I believe, and one in Missouri. As a matter of fact, they were just post office boxes. They weren't universities at all. He would advertise that he could get you a Ph.D., a master's degree, a bachelor's degree, and so forth. It's been found by the FBI and has been reported to us by them that about 3,000 people were "graduates" of one or more of these universities and to have completed courses of study that were required by the board of regents of the governing authority.

Of those 3,000 people who have evidence of having taken training or educational courses that justified them to receive an appropriate degree, therefore, of those 3,000 so-called graduates—and incidentally, one of them, this fellow Geruntino was one of those that my staff detected, and whom they discovered the advertisement of, the advertising to make available these advanced degrees, including Ph.D.'s.

Well, the Postal Service has been working with us very closely and very effectively in trying to break up this racket. So they decided they would try out sending in my name for a Ph.D. The Postal Service paid the $1,800 that was required. They sent in the name C.D. Pepper from Virginia. Under the name of C.D. Pepper from Virginia, without ever doing anything, going anywhere, why, I received a beautifully embossed Ph.D. from this Union University in Los Angeles, CA.

I don't know whether to put it up by my Harvard degree or not. That was a Union University Ph.D. It was issued meeting no stand-

ards, performing no labor at all except for short book reports, exhibiting no qualifications. Yet that thing recites my having met all the requirements of the board of regents and so on. They go on and use the same language you find in any other degree, generally.

Well, I started to say, of these 3,000 people that are graduates of just these three universities—and there are lots more diploma mills, I suspect, that exist in the country. The FBI found that 200 of these 3,000 "graduates" were working for agencies of the Federal Government and another 200 were working for the States. When this fellow Geruntino was being tried in the Federal court, the FBI put this information in the record of the court proceeding. It includes the information we are going to disclose today. But we asked the FBI to send us a list of the people who were working for the Federal Government, for the various agencies.

They have sent us a list. We have that list in the report which I am going to make public here today. But we have previously notified the inspectors general of every one of the departments where those people are working to report back: Are these people working for the Government? Have they used these false degrees as a justification for getting their job?

In other words, have they made false representations to obtain employment? It is no Federal or State offense, so far as I know, to obtain a false degree. If somebody's vanity is served by these degrees we are talking about today, they cost the people who got them about a $1,000 apiece. I mentioned those medical doctors' degrees we talked about earlier. They cost about $25,000 apiece which had to be paid to that fellow who procured them, and I presume, passed on as bribes to people who cooperated in putting the whole shoddy picture together.

Those inspectors general of the Federal Government, at the agencies where these people were employed, were sent letters advising them of these people, their names, and their positions and asking the inspectors general to respond. We have heard from only one. That is the Postal Service. They have taken action to try to purge the Postal Service, as I understand it, of people who have had these false degrees.

As I said, we don't know whether these individuals had legitimate degrees that justified their employment or not, but let me indicate to you some of the people who are involved:

An engineer at Kennedy Space Center who sought and obtained a B.S. in electrical engineering.

An employee with Westinghouse Nuclear International, which contracts with the Federal Government to construct nuclear powerplants, who sought and obtained a B.A., M.A., and Ph.D. in engineering—that came from these false universities.

An employee with post-launch operations, Kennedy Space Center, who sought and obtained a B.S. in mechanical engineering.

An employee with the Joint Chiefs of Staff, U.S. Army, Pentagon, who sought and obtained a Ph.D. in history.

An employee with the Three Mile Island Nuclear Power Plant, who sought and received a B.S. in mechanical engineering.

An employee with the NASA Lyndon B. Johnson Space Center in Houston, who sought and obtained a Ph.D. in electrical aerospace engineering.

An air traffic controller with the U.S. Department of Transportation Federal Aviation Center received a B.A. in aviation.

A chief deputy U.S. marshal in California who sought and obtained a B.S. and B.A. degree.

Now, all this information came to us from the FBI upon our request. The information was first collected by the FBI and offered in court when this Mr. Geruntino was being tried, where he was convicted and sentenced. We have also said, as we have done previously, we are releasing this report to the public. The file officially is called "Committee Print, Fraudulent Credentials, Federal Employees, a Report of the Chairman of the Subcommittee on Health and Long-Term Care of the Select Committee on Aging, House of Representatives, 99th Congress, Second Session."

I wish to file this officially today.

We are sending this, again, to the inspectors general of each of the Federal agencies who, according to these data furnished us by the FBI, employ or have employed these people who have these fraudulent degrees, asking them to check into it. We are also sending directly to each one of these people this same report, with his or her name appearing in it, asking them to respond.

When the inspectors general and if and when the individuals affected respond, all those responses will be a part of the record of this subcommittee and will be properly recorded, and the data, the explanation that they give, will be made public. So if they have any justification, if they claim that they just got that fraudulent degree for fun or that they had other legitimate degrees upon which they based their application for the job that they got, all right. Whatever they say in justification for having paid on an average about $1,000 to get these degrees, that will all be part of the record of this subcommittee. Whatever justification or clarification that is offered by the individual or inspectors general will be available to the public in vindication or in excuse or in explanation of the conduct of the individual involved.

[See appendixes I and II for material subsequently received from the inspectors general and Federal employees.]

Mr. PEPPER. I think that pretty well summarizes why we are here today, to release this report which contains these names and the position that they are occupying. They were furnished us upon our request by the Federal Bureau of Investigation.

Are there questions?

QUESTION. Mr. Pepper, how many Federal agencies are involved in this?

Mr. PEPPER. On April 17, 1986, followup letters regarding the employed individuals with fraudulent credentials were sent by me to the inspectors general of the following Federal departments and agencies: The Department of Agriculture, Department of Commerce, Department of Defense, Department of the Interior, Department of Justice, Department of Transportation, Department of the Treasury, NASA, U.S. Postal Service, and the Veterans' Administration.

As I said, we have had one response from the Postal Service, which was immediately addressed to this matter.

QUESTION. Have you notified State officials?

Mr. PEPPER. We haven't gone into the State part yet. We are first dealing with the Federal part. But you will remember I said—the FBI said—of the 3,000, they found that about 200 of them were employed by the State and about 200 by Federal agencies.

QUESTION. Mr. Pepper, I wonder when these people are able to answer why they got such a diploma, what will happen to them if indeed they got their job fraudulently, if they had no other degree?

Mr. PEPPER. You understand that is not within the scope of my authority. I assume an agency, for example, that finds that an employee of that agency has gotten one of these certificates would look into the background of that individual and maybe the circumstances of his or her employment.

If part of the representation of that individual in respect to his or her qualifications was that he had a Ph.D. degree, let's say, from *x* university, and that was one of the main bases upon which he or she was employed, that might represent to that agency—they are the ones to make the decision—that that individual who made false statements used false credentials.

QUESTION. So you would leave it up to each agency to decide what to do?

Mr. PEPPER. That is right. We are not proposing separate legislation. We are simply bringing to the attention of the Federal agencies the data accumulated by the FBI that we thought relevant to the public interest. So it will be up to the agencies to determine the circumstances.

If the individual is called in by his or her boss, and that boss says, "Look here, they tell me that you have a Ph.D. from this bogus university, that you didn't get any Ph.D. at all, that you paid about $1,000 and it is fraudulent." Well, if he said, "Yes, that was one of the foolish things I did in my life, I never had a Ph.D. and I always thought maybe I would just like to have the honor of having one. But I have an M.A. from Mass Tech, Harvard," something, that would be another matter.

There is a Latin phrase in the law, "Utile per inutile non viviatur," the useful is not vitiated by the useless.

QUESTION. I wonder if I could ask one more question? Did you say it disturbs you that in this report that you cited there are at least three NASA people with all the publicity about NASA?

Mr. PEPPER. Yes; it does. It disturbs me that there are NASA people. Look at all those Federal agencies involved. How long ago was it we sent that information to the inspectors general? About a year ago. We sent our information to those agencies nearly a year ago telling them about these facts and the only one we have had a reply from is the Postal Service.

QUESTION. But with all the negative publicity about NASA, the shuttle explosion, now we find three officials with bogus credentials. Does that worry you?

Mr. PEPPER. It worries me. Look, in the Joint Chiefs of Staff, in the Pentagon, we find some, too. Of course it concerns me. The Kennedy Space Center, the Johnson Space Center. I don't know whether these people had any critical part in any of the events leading up to the explosion of the *Challenger*, but just suppose that somebody that didn't have a bona fide degree was in a critical position.

You know what these people generally do. They somehow or other start off at a low level, trying to ingratiate themselves into the confidence of the hospital, whoever the employer is, and then they are very diligent. They cultivate their employer, like the fellow who was made an anesthesiologist. He wasn't an anesthetist any more than I am, but I guess he got a job at the hospital and he finally told them he would like to do that kind of work. Maybe he watched other anesthetists performing their duties. Maybe he figured he could get away with it.

Maybe in cases where there were no critical problems involved, maybe he got by with the operation. At that time he happened to have a patient who had a very sensitive heart situation, and he didn't know what to do or else he didn't seem even to notice it. It was one of the doctors or the nurses who discovered the man's heart had stopped. The anesthetist did not say a thing. He should have been telling them about it and trying to arouse the man, trying to start his heart again. He didn't do anything. He might not even have been looking, I don't know.

So they try to ingratiate themselves into their employer's good will and they gradually sort of work themselves up. I have some degrees on my wall. People come in and see them. They don't know whether they are bona fide or not. Doctors and lots of professional people always have their walls lined with these degrees. Nobody investigates. But with respect to the doctors, we have encouraged the medical profession and the licensing authorities of the medical profession and the hospitals to be more careful and verify these credentials. It is not going to embarrass anybody. If anybody asks me about the University of Alabama or Harvard, yes, I did attend and graduate. If you want to check it, go ahead. Anybody that has a bona fide degree is not ashamed to be asked about it.

So we have to encourage the hospitals, the doctors' associations, and the licensing authorities and all of them to go back and check on all of these people. They will find some of them that are there fraudulently.

QUESTION. Mr. Pepper, how do you intend to proceed if the I.G.'s still don't respond to the information that you send them?

Mr. PEPPER. Our response would be appropriate. We would try to make it appropriate to the information they furnish us. If they advise us that, for example, they have checked up on these cases we brought to their attention and they do find that these people have obtained degrees from the sources we have identified, nevertheless they also have other bona fide degrees, and they feel that having the bogus degree does not affect the professional capacity and qualification of the individual, if that is decided, all right, we will make a record of it.

On the other hand, if they tell us that they are pleased to receive that information and they checked up on it and found that some of these people did use those bogus degrees as a basis of their application, and they fire them, then, of course, we will be glad to make that part of our record, too.

We will record what their response is. It is their job to act. If they say there is no wrong done, no harm done, all right. It is all right with us. We thought they ought to be advised that these

people with these bogus degrees are working for them. We don't know. They look like they are all in pretty responsible positions.

QUESTION. Congressman Pepper, can you explain what the potential danger is to the public if people in sensitive positions like these do have those bogus degrees?

Mr. PEPPER. I will tell you. It's just exactly like the case I put about the fellow getting the job as anesthetist when he wasn't qualified. A man's brain was permanently, very seriously damaged. We never know. Just suppose, for example, that one of these fellows, one or more of them is working for NASA, for the Johnson Space Center, for the Kennedy Center. Suppose they were in a critical position where their judgment meant a great deal to the *Challenger* project or to something else.

Those people don't have the qualifications they represented that they have. It may be the public interest has suffered grievously. Somebody makes—even the best people make—mistakes of judgment, but at least they have had preparation that justifies their being trusted with a certain responsibility.

Now we have had cases where a fellow claimed he was a lawyer and he got the judge to appoint him, to defend people in his court who didn't have a lawyer. He found out a little while later the man was a—I forgot what he was, but he wasn't a lawyer. That client wasn't being represented by a lawyer, although he was entitled to be.

So, all we wanted to do was to bring the facts to the attention of those in authority to see what they thought the situation required them to do. If they think they should do nothing, it is up to them. If they think they should take appropriate action, that is their decision.

QUESTION. Mr. Chairman, I would like a clarification on the 50,000 bogus degree figure you were talking about. Was that an estimate of the overall number of bogus degrees?

Mr. PEPPER. About one in 50 doctors. Our evidence is that about one in 50 employers in the medical area has questionable credentials. Not all of them are doctors. Some of them are.

QUESTION. Is there any way to estimate the overall number of possible bogus degrees floating around out there?

Mr. PEPPER. That would add up to approximately half a million in the country.

Any other questions?

QUESTION. Congressman, obviously isn't the bigger problem the diploma mills themselves? What steps do you think should be taken to shut these things down?

Mr. PEPPER. After this Mr. Geruntino was convicted—he was the man that was the brains of it. He was the fellow that started the C.D. Pepper application in the mill. Then after he was convicted the FBI had investigated them and found it was a fraudulent setup, then they went out of business.

QUESTION. Surely he is not the only one?

Mr. PEPPER. See, they were using the mails to defraud. They were engaged in a conspiracy to take people's money without giving them what they claimed to be giving them, at least a bona fide degree. So they went out of business. But I have no doubt but what there are many others. What I am talking about today re-

lates only to one group operating these three bogus colleges or universities in the three States, as I believe I said, Missouri, Arizona, and Utah.

QUESTION. What steps do you think should be taken to shut them down?

Mr. PEPPER. You see, they are violating the mail fraud statute. They are using the mails to defraud. That is where the Postal Service comes in. They have been so helpful in working on this matter.

Well, thank you all very much for coming. We will be available when we get some additional responses. We will have another hearing and make public the replies we get from the individuals and from the inspectors general of the various agencies.

Thank you very much.

The meeting will stand adjourned.

[Whereupon, at 11 a.m., the meeting was adjourned.]

APPENDIX I

United States Department of Agriculture
Office of Inspector General
Washington D.C. 20250

MAY [illegible]

Honorable Claude Pepper
Chairman, Subcommittee on Health
and Long-Term Care
Select Committee on Aging
House of Representatives
Washington, D.C. 20515

Dear Congressman Pepper:

This responds to your recent letter regarding Federal employees who obtain and use fraudulent educational degrees and professional credentials.

At the time we prepared our June 1985 response to your previous letter regarding this topic, we had not received referrals from the FBI pertaining to USDA employees who may have purchased fraudulent degrees or credentials. However, in December 1985, the FBI sent us a report concerning a backdated Bachelor of Science Degree obtained by Mr. Francis M. Phillips, an employee of the Rural Electrification Administration (REA), in Washington, D.C. When we inquired about this matter with the REA, we learned that Mr. Phillips had died on August 24, 1981. Based upon the death of Mr. Phillips, we did not inquire further at that time. We have since inquired further into this matter and learned the following information:

> The Employment Officer, REA, Washington, D.C., advised that Mr. Phillips was hired by REA on June 11, 1979, in Washington, D.C., as a Communications Specialist. Mr. Phillips was a GS-12, Step 1, at a salary of $23,087 at the time of his death. His responsibilities at the time of his death were to review loan applications of rural telephone companies who borrow money from REA. Mr. Phillips position did not require that he hold a degree and REA was not aware he had procurred a Bachelor of Science Degree in Electrical Engineering.

With regard to Mr. Jimmy Wade Poole, who is listed in the appendix of your hearing report as being the recipient of a "PHD PSY/CON" on May 25, 1981, we learned the following:

> The Administrative Officer, Soil Conservation Service (SCS), State Office, Auburn, Alabama, advised that Mr. Poole was hired by SCS on August 20, 1970, in Andulasia, Alabama, as a Soil Conservation Technician. On November 6, 1981, he was given a disability retirement due to a medical condition. Mr. Poole was employed as a Construction Inspector, GS-6, Step 8, at a salary of $17,634, at the time of his retirement. His responsibilities at that time were on site verifications of construction projects. A PhD in Psychology would not have been of any benefit to Mr. Poole in his assignment as a Construction Inspector.

In this Department, verification of educational credentials is the responsibility of the employing agency in accordance with the policies of the Department's Personnel Office. The USDA Personnel Officer advised that when an individual submits an application for employment wherein a college degree or professional credential is a prerequisite, the applicant is required to produce the degree or credential prior to employment. Additionally, if the position is deemed critical sensitive, an Office of Personnel Management Investigator verifies the last place of education. In all other cases the verification is done by letter to the educational institution.

We appreciate your continuing interest in protecting the integrity of the work force of this Department.

Sincerely,

Robert W Beuley

ROBERT W. BEULEY
Deputy Inspector General

UNITED STATES DEPARTMENT OF COMMERCE
The Inspector General

May 2, 1986

Honorable Claude Pepper
Chairman, Subcommittee on Health
and Long-Term Care
377 House Office Building Annex 2
Washington, D.C. 20515

Dear Mr. Chairman:

Thank you for your letter of April 17, 1986, and Subcommittee report entitled, "Fraudulent Credentials: Federal Employees."

My staff has reviewed in detail the case of the one Department of Commerce employee, Vivian Redd, identified in the above report as having purchased a fraudulent Master of Arts Degree in Sociology, February 1, 1982.

The facts, as reported to us by the U.S. Patent and Trademark Personnel Office, are that Ms. Redd has never held a job with the Department which required a degree. Moreover, she did not use the "degree" to obtain employment with the Department or apply for promotion after being hired.

We have further been advised that Ms. Redd, after realizing the significance of purchasing a degree, retracted the "degree" after having noted it on an update of her Standard Form 171. No adverse action will be taken against Ms. Redd.

If I can be of further assistance, please do not hesitate to contact me.

Sincerely,

Sherman M. Funk
Inspector General

INSPECTOR GENERAL
DEPARTMENT OF DEFENSE
400 ARMY NAVY DRIVE
ARLINGTON, VIRGINIA 22202

11 JUN 1986

Honorable Claude Pepper
Chairman
Subcommittee on Health and Long-Term Care
Select Committee on Aging
House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

This is an interim response to your letter of April 17, 1986, requesting information on actions taken on individuals found to have bogus degrees who are currently employed by the Military Services or the Department of Defense.

I previously advised you in my letter dated June 28, 1985 (in reply to your letter of June 5, 1985), that the Federal Bureau of Investigation (FBI) had never provided any names of bogus degree holders to me for action. Subsequently, my office received a memorandum from the FBI, dated October 17, 1985, detailing the activities of Mr. Anthony Geruntino, who directed the bogus degree scheme examined by your Subcommittee.

The names of 42 individuals, purportedly employed by DoD, were contained in the materials received from the FBI. However, only a minimal amount of identifying data for those individuals was available as a result of the FBI efforts since the apparent target of that effort was Mr. Geruntino, not the recipients of the bogus degrees. An effort to identify the individuals using automated Department of Defense records resulted in little additional data. The information was provided to the military investigative agencies and the General Counsel of the Defense Logistics Agency for follow-up. All agencies reported significant problems due to the minimal identification provided.

After receiving your April 17, 1986 letter, my office contacted the organizations involved to discuss a common approach. We determined that the list attached to your letter contained more identifying data and that the 72 names were other than those previously received. We have, therefore, contacted the FBI office in Charlotte, North Carolina, which

agreed to provide a complete detailed list with all identifying data in the next several weeks. Upon receipt, the list will be disseminated to the appropriate authorities for review and action.

If your staff has any further questions, they can contact my project officer, Mr. S. Woodruff Bentley, in the Office of the Assistant Inspector General for Criminal Investigations Policy and Oversight at telephone 694-8962.

Sincerely,

Derek J. Vander Schaaf
Deputy Inspector General

61-733 0 - 86 - 2

United States Department of the Interior

OFFICE OF INSPECTOR GENERAL
WASHINGTON, D.C. 20240

May 14, 1986

Honorable Claude Pepper
Chairman, Subcommittee on Health
and Long-Term Care
U. S. House of Representatives
Washington, D.C. 20515

Dear Chairman Pepper:

Thank you for your letter dated April 17, 1986, regarding fraudulent degrees and professional credentials.

I fully support your Subcommittee's efforts in this area. The report forwarded with your letter contained the names of 72 individuals connected in some manner to the Federal government. It is my understanding from the subcommittee report that the Federal Bureau of Investigation and the Postal Inspection Service have identified thousands of individuals who have purchased degrees. However, this office has received no information to date from these agencies which would indicate that an individual who purchased a degree is a U. S. Department of the Interior employee.

The Office of Personnel Management (OPM) has advised us that they are matching numerous lists of individuals who purchased degrees with OPM's security and investigative index. OPM will notify us if any of the individuals are Department employees. Upon receipt of this notification, we will review the employee's official personnel file to determine whether the employee fraudulently used the degree to gain employment or promotion. Based on the results, appropriate criminal and administrative referrals will be made.

If you desire additional information, please contact me or Mrs. Joyce Fleischman of my staff by telephoning 343-5745.

Sincerely,

James R. Richards

James R. Richards
Inspector General

U.S. Department of Justice

Office of Professional Responsibility

Washington, D.C. 20530

MAY 6 1986

Honorable Claude Pepper
House of Representatives
Washington, D.C. 20515

Dear Chairman Pepper:

This is in reply to your letter of April 17, 1986, in which you asked us to review the "Geruntino list" to determine if any Department of Justice employees on the list have submitted fraudulent educational attainment credentials for hiring or promotion purposes.

We have identified only one Department of Justice employee on the list: Chief Deputy U.S. Marshal Daniel Wigfall of the Northern District of California. The United States Marshals Service's Office of Internal Investigations has commenced an investigation into the matter. We will advise you of the results of that investigation when it has been concluded.

We specifically request that the existence of the investigation be kept confidential. We have been informed by the Marshals Service that the subcommittee's publication of the Geruntino list and press inquiries which were made to Marshal Wigfall subsequent to the publication have already alerted him to the likelihood of an investigation. Nevertheless, your cooperation in this regard is greatly appreciated.

Sincerely,

Michael E. Shaheen Jr.
Counsel

U.S. Department of Transportation
Office of the Secretary of Transportation

The Inspector General

Office of Inspector General
Washington, D.C. 20590

MAY - 9 1986

The Honorable Claude Pepper
Chairman, Subcommittee on Health
and Long-Term Care
House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

Thank you for your recent letter concerning individuals in the Department of Transportation (DOT) who may have received degrees or credentials from nonexistent or "diploma mill" institutions.

The list of individuals who purchased "degrees" from Anthony James Geruntino which was enclosed with your letter, showed two persons employed by DOT, Nathan L. Willis and Sammy Pierce.

Nathan L. Willis was a Chief Warrant Officer with the United States Coast Guard (USCG) Headquarters, Washington, D.C. Willis retired from the Coast Guard November 1, 1982, and did not use the degree for promotion or benefit.

Sammy D. Pierce is an Air Traffic Control Specialist, GS-14, Federal Aviation Administration (FAA), Chicago O'Hare Control Tower, Chicago, Illinois. Geruntino's list showed Pierce was an Air Traffic Control Specialist, GS-13, FAA, Oklahoma City, Oklahoma. FAA's Office of Security has recently conducted an investigation into this matter and found that Pierce's degree was not necessary for his promotion, was not considered in the promotion, and was not reflected in the documents Pierce submitted for promotional consideration (SF-171).

Because neither employee used his "degree" to obtain any benefit from the Government, we do not contemplate any further action in this matter.

Sincerely,

Glenn A. Weinhold

Joseph J. Genovese
for Acting Deputy Inspector General

DEPARTMENT OF THE TREASURY

WASHINGTON

INSPECTOR GENERAL

C-IN-86-087

May 5, 1986

Dear Mr. Pepper:

In response to your letter of April 17, 1986, to the former Inspector General John C. Layton, this office has initiated an investigation into the possible use of fraudulent credentials for hiring or promotion purposes.

We reviewed the list of names attached to your letter and identified one person who may be an employee of the Internal Revenue Service (IRS). The other individuals could not be identified as current or former employees of the Department of Treasury.

The name of the possible IRS employee has been referred to the IRS Office of Inspection for follow-up. We will forward the results of their review to you as soon as it is completed.

If you have any questions concerning this matter, please contact me at 566-6900.

Sincerely,

Michael R. Hill

Honorable Claude Pepper
Chairman, House Select Committee on Aging
Subcommittee on Health and Long-Term Care
United States House of Representatives
377 House Office Building Annex 2
Washington, DC 20515

DEPARTMENT OF THE TREASURY

WASHINGTON

INSPECTOR GENERAL

June 25, 1986

C-IN-86-087

Dear Mr. Pepper:

Thank you for your April 17, 1986, letter concerning fraudulent degrees and professional credentials.

This office has conducted an inquiry to determine whether individuals on the "Geruntino list" formerly or presently associated with the Treasury Department have submitted fraudulent credentials for hiring or promotion purposes.

Our review of the list identified only Benny D. Knox as an employee of the Treasury Department, Internal Revenue Service (IRS), Taxpayer Service Division, Wichita Falls, Texas.

An IRS review of Mr. Knox's Standard Form 171, Personal Qualifications Statements and Verification at Midwestern State University established that Mr. Knox attended the university, but did not receive a degree.

There is no indication in Mr. Knox's Official Personnel Folder that he represented himself as having a degree from any of the "diploma mill" institutions. IRS pointed out that "it should be noted that the dates he allegedly received the degree were after he became employed by IRS."

I appreciate your bringing this matter to my attention.

Sincerely,

Michael R. Hill

The Honorable Claude D. Pepper
U.S. House of Representatives
Chairman, Select Committee on Aging
Subcommittee on Health and Long-Term Care
377 House Office Building Annex 2
Washington, D.C. 20515

NASA
National Aeronautics and
Space Administration

Washington, D.C.
20546

C:DCLpv:C18964f

Honorable Claude Pepper
Chairman
Subcommittee on Health
and Long Term Care
Select Committee on Aging
House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

In response to your Subcommittee's request regarding the academic qualifications of three NASA employees, NASA is pleased to provide the following information.

The two individuals, Charles Richards and Charles Bousfield, identified in the Subcommittee's report, "Fraudulent Credentials: Federal Employees," as working at the Kennedy Space Center are not NASA employees. Mr. Bousfield is an employee of United States Boosters, Inc., and Mr. Richards is a former employee of the same firm who left the company in July 1982. Our Inspector General's Office brought the matter of false academic credentials to the attention of United States Boosters, and was informed that the individuals in question neither needed these degrees to qualify for the positions they held nor submitted claims to the company that they possessed these degrees. Except under limited and specific circumstances, NASA has no oversight role relative to personnel matters of individual employees of our contractors.

The individual, William Teasdale, identified in the same Subcommittee report as working at the Johnson Space Center is a NASA employee. He was hired as a GS-11 in 1967 and has both a Bachelor of Science degree in electrical engineering from the University of Texas and a Masters degree in electrical engineering from the University of Houston. Based on this education and his work over the years, he has advanced his career and was recently promoted to a GS-14 (September 1985). At no time has this employee presented any evidence of having a Ph.D. degree nor has he tried to represent himself as having a Ph.D degree. There is no mention of his having obtained such a degree in his official personnel folder, and no recognition or promotional opportunities have been awarded him based on having obtained a Ph.D. degree.

We alerted our field center personnel offices to the problem of "diploma mill" schemes in December 1985. In light of the Subcommittee's findings and because we share your concerns, we will again remind our personnel staff to continue to thoroughly review, for both accuracy and legitimacy, all educational credentials presented by applicants and employees.

Hopefully this information will be useful to you.

Sincerely,

Nadia L. Mcdonnell

for John F. Murphy
Assistant Administrator
for Legislative Affairs

NASA
National Aeronautics and
Space Administration

Washington, D.C.
20546

Reply to Attn of: Office of Inspector General

Honorable Claude Pepper
Chairman
Select Committee on Aging
U.S. House of Representatives
377 House Office Building, Annex 2
Washington, DC 20515

Dear Mr. Pepper:

This is in response to your letter of April 17, 1986, to Mrs. June Gibbs Brown, NASA Inspector General, concerning the issue of fraudulent degrees and professional credentials. You referred to your inquiry of June 5, 1985, regarding what action had been taken by this office on referrals we received from the Federal Bureau of Investigation (FBI) on individuals employed by NASA who may have received degrees or credentials from non-existent or "diploma mill" institutions. Please note that Mrs. Brown resigned from her position as Inspector General on March 9, 1985.

At the time of our prior response, June 17, 1985, the NASA Office of Inspector General (OIG) had received no such referrals from the FBI. However, since that time, the NASA OIG has received two such referrals from the FBI. The first one concerned Mr. William E. Teasdale of Pearland, Texas, listed in the appendix of the Subcommittee's report as an employee of NASA's Lyndon B. Johnson Space Center, Houston, Texas. The FBI referral to the NASA OIG concerning Mr. Teasdale is dated November 6, 1985. On the basis of that referral, the OIG: (1) advised the Director, NASA Personnel Programs Division of the "institutions" involved in the "diploma mill" scheme and requested that NASA Personnel Offices be alert to applicants presenting degrees issued by these "institutions" as credentials qualifying them for NASA positions, (2) investigated the situation as regards Mr. Teasdale. We were advised by the Personnel Programs Division that they did advise all NASA installation Personnel Officers of this information.

The second such referral from the FBI, dated November 29, 1985, concerned Mr. Charles J. Bousfield of Merritt Island, Florida, listed in the appendix of the report as employed by United Space Boosters, Inc., Kennedy Space Center, Florida. The NASA OIG conducted an investigation to determine the facts regarding Mr. Bousfield.

The OIG received no further such referrals from the FBI, to include any referral concerning Mr. Charles Winston Richards of Palm Bay, Florida, listed in the appendix of the report as being employed by United Space Booster (sic) Inc., Kennedy Space Center, Florida.

As stated above, the OIG conducted an investigation into the reports that Mr. Bousfield and Mr. Teasdale had received bogus degrees. Although we did not receive a referral from the FBI regarding Mr. Richards, the investigation conducted by the OIG into Mr. Bousfield also produced information concerning Mr. Richards. The investigations conducted by the OIG determined that none of these three individuals submitted fraudulent credentials for hiring or promotion purposes. They did not claim these degrees in the records of NASA or United Space Boosters, Inc., a NASA contractor at the Kennedy Space Center.

The OIG's general position on the matter of identified agency employees holding fraudulent credentials is that so long as the credentials are not used for any fraudulent purpose, we will not entertain jurisdiction over the subject matter. If you have any further questions on this matter, I may be contacted at (202) 453-1220.

Sincerely,

Bill D. Colvin
Inspector General

UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D. C. 20555

JUN 19 1986

The Honorable Claude Pepper
Chairman
Subcommittee on Health
and Long-Term Care
Select Committee on Aging
U.S. House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

This responds to your letters of May 28 and June 3, 1986 advising us of individuals who obtained fraudulent degrees and who may be employed by this Agency or by organizations under our regulatory jurisdiction.

A review of the U.S. Nuclear Regulatory Commission's (NRC) personnel records against the names of all individuals appearing in the Appendix of the Subcommittee's Report on "Fraudulent Credentials: Federal Employees" shows no individuals listed working for the NRC. Mr. Lyman E. Marshall is not employed by the NRC and has never worked for this Agency. He is presently employed by Westinghouse Nuclear International at a nuclear power plant located in the Republic of the Philippines. He is subject to no security clearance or other regulatory responsibility of this Agency.

Your letters identified a Mr. Romayne F. Palmer as having obtained a fraudulent degree and as being employed at the Three Mile Island Nuclear Power Plant. We are in the process of determining whether Mr. Palmer's fraudulent degree is inconsistent with any security clearance which he may possess or with NRC's requirements governing utility managerial competence. I will advise you further on this matter when all pertinent facts are available.

Your letters requested a report of any and all actions taken to deal with identified Agency employees holding fraudulent credentials. This Agency has one case of an employee possessing allegedly fraudulent credentials. This matter is presently under investigation by the Office of Inspector and Auditor. I will advise you further on this case, also, when all facts are available.

Sincerely,

Victor Stello, Jr.
Executive Director for Operations

Office of
Personnel Management

MAY 30 1986

Honorable Claude Pepper
Chairman, Subcommittee on
Health and Long-Term Care
Select Committee on Aging
U.S. House of Representatives
Washington, D.C. 20515

Dear Mr. Pepper:

This responds to your letter concerning the Office of Personnel Management's (OPM's) efforts to verify degree claims of Federal employees and job applicants. We share your concern about diploma mill operations and are pleased to provide the information you requested.

Director Horner has written to the heads of all departments and agencies (see enclosure 1) asking their support to ensure that the integrity of the civil service merit system is not compromised by those claiming bogus degrees. The Director announced that we would be sending agency Directors of Personnel a list of FBI-identified bogus institutions for their use in detecting fraudulent degree claims in connection with their responsibility to determine applicant's and employees' qualifications (see enclosure 2). This mailing includes guidance on what action to take when fraud has occurred or when questions of suitability and trustworthiness have been raised as a result of deceptive degree claims.

The Director also informed the agency heads of the matching project we undertook after asking the FBI for the names of bogus degree recipients it had identified. We compared approximately 2,000 names from the FBI with the names in our Security Investigations Index, an automated index of approximately 4 million Federal employees, applicants, and contractors. This matching effort shows about 260 bogus degree holders who may possibly be federally employed.

As the FBI completes its investigation of these cases in which we are interested, we pursue the matter with the agency where the individual may be employed. We ask the agency to determine whether the bogus degree recipient is employed by them and to initiate an investigation of all relevant facts and circumstances. Upon completion of these investigations, the agencies are asked to report back to us their findings and their recommendations on proposed actions

concerning individual employees. OPM has reserved final authority on removals of competitive service employees who were found to have fraudulently and materially misrepresented their academic credentials as part of their initial entry into the civil service. It is still too early for us to provide any statistics on the actual number of verified "matches," the status of identified bogus degree recipients, or agency action in response thereto.

We are also introducing an additional check into OPM's process for verifying degree claims during the investigation of applicants and employees. For years we have had verification procedures, but the new check will close a possible loophole in detecting bogus degree claims. Further, examining offices, personnel offices, and security offices throughout the Government will also be using the list of bogus institutions to detect such claims.

OPM is also pursuing an initiative to verify professional certificates and licenses claimed by individuals we investigate. This is another area where bogus claims can occur, and we are determined to ensure that this problem also does not compromise the civil service.

OPM is committed to eliminating the problem of false credentials claims as they affect the civil service, and I appreciate this opportunity to tell you what we are doing in this area. I will be pleased to furnish additional information should you have any questions.

Sincerely,

George Wooloshyn
Associate Director
for Compliance and Investigations

Enclosures

Enclosure 1

Office of the Director

UNITED STATES
OFFICE OF PERSONNEL MANAGEMENT
WASHINGTON D.C. 20415

May 20, 1986

MEMORANDUM FOR: HEADS OF DEPARTMENTS AND AGENCIES

FROM: CONSTANCE HORNER
DIRECTOR

SUBJECT: USE OF BOGUS DEGREES BY FEDERAL EMPLOYEES AND JOB APPLICANTS

As the news media have recently publicized, the FBI has found that some Federal employees and job applicants have claimed bogus degrees from diploma mills. I'd like you to know what we're doing in OPM to coordinate a consistent approach to dealing with the problem in the civilian Federal service.

We have been checking FBI-supplied names of individuals with bogus degrees against names of individuals in our Security Investigations Index. We've begun sending names that match to your Personnel Security Officers and Inspector General (or the person designated to perform the Inspector General function). They are being asked to determine whether the person listed as having a bogus degree is currently employed by your agency and, if so, to ascertain whether the bogus degree claim involved material fraud and to report to OPM on the action taken. We will be closely monitoring agency reports and will ourselves be taking action where we have jurisdiction.

We will soon be sending your Director of Personnel a list of institutions identified by the FBI as bogus. This list is for Personnel Directors' use in detecting bogus degree claims in connection with their responsibility to determine applicants' and employees' qualifications. With the list will be guidance on what action to take when material fraud or job-related deception is found to have occurred.

We are now making an additional check when we verify degrees during investigations of applicants and employees. We've had verification procedures for years, but the new check will close a possible loophole in detecting bogus degree claims. Our examining offices will also be using the list of bogus institutions to detect bogus degree claims on applications processed by OPM.

Whenever employees or job applicants rely on bogus degrees for personal gain from Federal employment, fraud is committed and the integrity of the merit system is compromised. I urge you to encourage your staff to do their utmost to help us eliminate this problem.

United States
Office of
Personnel Management

Washington, D.C. 20415

MAY 29 1986

MEMORANDUM TO DIRECTORS OF PERSONNEL, PERSONNEL SECURITY OFFICERS, AND INSPECTORS GENERAL

Subject: Use of Bogus Degrees by Federal Employees or Job Applicants

From: George Woloshyn
Associate Director
for Compliance and Investigations

Recently the news media reported that the FBI found some Federal employees and job applicants had claimed bogus degrees from diploma mills. OPM Director Horner wrote to the heads of departments and agencies enlisting their support in our effort to combat this problem. We need your active participation to succeed. Therefore, I am writing to address your role in detecting and dealing with bogus degree claims.

Enclosure 1 is a list of bogus institutions, identified by the FBI, that you can use to detect claims of degrees from bogus institutions when rating applicants' and employees' qualifications. Enclosure 2 is guidance for determining whether such claims constitute fraud and for handling cases where fraud is found, as well as other cases.

OPM has checked approximately 2,000 FBI-supplied names of bogus degree holders with the names of individuals in our Security Investigations Index. Where we find a match, we are sending the names to the appropriate agency Security Officers. It is our understanding that agency Inspectors General may receive similar information directly from the FBI. We are asking agencies to determine whether the person listed as having a bogus degree is currently employed; whether fraud occurred (i.e., whether the person intentionally claimed a degree he or she knew was bogus for personal gain from Federal employment); whether the bogus claim affected the agency's qualification or selection decisions; what action they recommend be taken when fraud is found and the matter is in OPM's jurisdiction; and what action they are taking when the matter is in the agency's jurisdiction.

OPM is now making an additional check when we verify degrees during our investigation of applicants and employees. We've had verification procedures for years, but the new check closes a loophole in detecting bogus degree claims. Also, OPM examining offices will use the list of bogus institutions to detect possible fraud on applications processed by OPM. I will inform you of additional initiatives in this area as we take them.

I urge you and your staff to do your utmost to help us eliminate the problem of potential compromise of the merit system by bogus degree claimants. If you have questions on this overall effort, please contact Bob Herrmann, (202) 254-6844.

Thank you for your cooperation.

Enclosures

Enclosure 1

FBI-IDENTIFIED BOGUS EDUCATIONAL INSTITUTIONS

American Western University (AWU) Locations: Tulsa,OK and Springfield, MO

Chicago Medical College of Homeopathy

Elysion College of Liberal Arts Locations: Salt Lake City, UT; Covina, CA; Santa Fe, NM; Parker, AZ; Baja California, Mexico; San Ysidro, CA; Williams, AZ; and Bellflower, CA

Falls Medical School Location: Falls, NY

Homeopathic Faculty of Zurich Location: Zurich, Switzerland

Johann Keppler School of Medicine Location: Toronto, Ontario, Canada

Johann Keppler School of Medicine Location: Zurich, Switzerland

Johann Keppler School of Medicine of Central America Location: Baja California, Mexico

Johann Keppler School of Medicine, North American Admissions Office Location: Burlington, Ontario, Canada

Mid-Western University Location: Arcadia, MO

North American University Location: Hamilton, Ontario, Canada

Northwestern College of Allied Science (NCAS) Locations: Tulsa, OK and Springfield, MO

Sequoia University Location: Oklahoma

South African College of Homeopathy

South African Faculty of Naturopathy and Osteopathy

Southeastern University and Preparatory School, Inc. Location: South Carolina

Southeastern University and Theological Seminary and Preparatory School, Inc. Location: South Carolina

Southeastern University of the Virgin Islands of the United States Location: Saint Croix, Virgin Islands

Southwestern Professionals and Educators, Incorporated (SWPEI)

Southwestern University (SWU) Location: Tucson, AZ

Thomas A. Edison College (TAEC) Location: West Palm Beach, FL

United American Medical College Locations: Metairie, LA and Oakville, Ontario, Canada

Williams College Location: Salt Lake City, UT; Covina, CA; Santa Fe, NM; Parker, AZ; Baja California, Mexico; San Ysidro, CA; Williams, AZ, and Bellflower, CA

OPM CIG May 1986

Enclosure

GUIDANCE FOR AGENCIES IN DEALING WITH BOGUS DEGREE CLAIMS

This guidance is for agencies to use in identifying bogus degree claimants; establishing whether the falsification influenced qualification or selection decisions; deciding on a course of action; and reporting to OPM on each case.

Section 1 discusses OPM's and agencies' jurisdictions in taking action when employees have made bogus degree claims. Section 2 outlines agencies' tasks after receiving from OPM a potential match of an FBI-identified bogus degree holder and one of their employees. Section 3 discusses agencies' ongoing role in detecting and dealing with applicants and employees who make bogus degree claims. Section 4 explains fraud and other falsification. Section 5 outlines appropriate responses to bogus degree claims.

1. Jurisdictions and Authorities

Under Civil Service Rule 5.2 (in 5 CFR Part 5) and 5 CFR Part 731, OPM is responsible for adjudicating cases in which falsification or fraud occurred in the initial examination or appointment process for competitive service employees. As explained below, agencies will have a significant role in this process, including making recommendations to OPM on what action should be taken in relation to one of their employees when fraud occurred in this initial process.

Agencies, on the other hand, are responsible for deciding appropriate action in cases involving all excepted service employees and those competitive service employees who made a bogus claim after the initial examination or appointment process. When agencies take disciplinary action with competitive service employees or preference-eligibles in the excepted service who have completed their probationary or trial period, agencies must use 5 CFR Part 752. Actions involving probationers in the competitive service are taken under 5 CFR Part 315.

2. Agencies' Role With FBI-Identified Bogus Degree Holders

OPM checks the names of FBI-identified bogus degree holders with the names of individuals in our Security Investigations Index to detect possible "matches." We send the possible matches to agency Security Officers. As the letter we send with the name specifies, agencies that receive the names are to determine whether the individuals are their employees. If they are employed there, agencies must investigate to determine if the individuals engaged in fraudulent activity in connection with their employment. If the agency doesn't have the investigative resources or expertise necessary to conduct the investigation, it may ask OPM to conduct it.

In each case, agencies are asked to report to OPM within 30 days after we notify them of the possible match. As we send out cases, we're asking for a more comprehensive report than we previously requested from agency Security Officers. Please note that in cases where OPM has jurisdiction, we are asking you what action you recommend in response to a finding of fraud; however, OPM will adjudicate these cases. Fraud and other falsification are defined and appropriate responses are discussed in sections 4 and 5, respectively.

61-733 0 - 86 - 3

3. Agencies' Ongoing Responsibility to Detect Bogus Degree Claimants

As part of their day-to-day personnel management responsibilities, agencies must be alert to bogus degree claims made by applicants and employees in connection with an appointment, a promotion, training, or another benefit from Federal employment. An important tool to use in this effort is the list of FBI-identified bogus educational institutions enclosed with this package.

As with the possible matches referred by OPM, these potential cases of fraud must be investigated. Again, if agencies don't have the resources they may ask OPM to conduct the investigation. If the investigation reveals that fraud or other falsification has occurred, the agency must determine whether it or OPM has jurisdiction (see section 1). Fraud and other falsification are defined in section 4.

When agencies have jurisdiction to take disciplinary action they must comply with 5 CFR Part 752 for competitive service employees and preference eligibles in the excepted service who have completed their probationary or trial period. (5 CFR Part 315 applies to actions against competitive service probationers.)

Because there is major concern about the magnitude of the problem of bogus degree claims, OPM asks that agencies also report cases in which they themselves detect a bogus degree claim (that is, a claim that was not one identified as a possible match in the notice we send to agency Security Officers) and establish that fraud occurred. Specifically, please provide the following:

Name of employee

Social Security Number

Title, series, and grade (for position applied for or employed in)

Bogus degree claimed

Bogus institution providing the degree

Action taken by agency

Send report to: OPM - NACI Center
Attn: SAB (DPFR)
Boyers, PA 16018

In addition, if you identify any educational institutions that you suspect are bogus and they are not on the list identified by the FBI (enclosure 1), we ask that you notify OPM. Please relay this information by telephone to Kathy Dillaman, FTS 8-722-6440 or (412) 644-6440.

4. Explanation of Fraud and Other Falsification

Fraud is intentional false statement that results in obtaining employment, promotion, training, special assignment, or other employment-related benefit. Intentionally claiming a degree one knows to be bogus and thereby gaining one of these benefits is fraud.

Examples of fraud are:

- o The bogus degree was claimed to meet the educational or other qualifications for the position obtained;
- o The bogus degree influenced the claimant's ranking on a certificate of eligibles even though it was not a requirement for the position he or she obtained;
- o The bogus degree could have substantially influenced the decision to select the claimant for the position obtained even though the degree was not required for the position;

Intentional falsification that does not result in a benefit is not fraud. When this occurs in the initial competitive appointment process, the application must be referred to OPM for a suitability determination under 5 CFR Part 731. Guidance is included in section 5 below for agency actions not involving initial competitive service appointment.

Some examples of falsification where fraud has not been shown are:

- o The bogus degree was not needed to meet an educational or other qualification requirement for the position;
- o The bogus degree did not affect the claimant's position on a certificate of eligibles;
- o The bogus degree was not likely to have substantially influenced the selecting official's decision;
- o The bogus degree is claimed on an application but the claimant has not yet been employed.

5. Appropriate Agency Response to Bogus Degree Claims

When the degree was required to qualify for a position, fraud occurred. Appropriate action generally is removal from the position. Removal can be by reassignment or change to lower grade to a position in a line of work previously held in which the degree was not required, or separation.

When the degree was not required to qualify for a position and the individual was qualified without it, but the degree was likely to have substantially influenced his or her selection, fraud occurred. Appropriate action ranges from reprimand to suspension to removal by reassignment, change to lower grade, or separation.

When the degree was not required to qualify for a position but it caused the individual to be on a certificate of promotion eligibles he or she would not have otherwise been on, fraud occurred. Appropriate action ranges from reprimand to suspension to removal by reassignment, change to lower grade, or separation.

When the degree was not required to qualify for the position, and the individual could have made the certificate even without the degree, and the degree was not likely to have substantially influenced his or her selection, no fraud occurred. Appropriate action would be a counseling memorandum informing the individual that the bogus degree is worthless and he or she should stop using it as an educational credential and amend his or her official records.

When an employee obtained training, or a special assignment, or some other benefit short of a permanent position assignment, action generally ranges from a counseling memorandum to a reprimand.

We would also like agencies to consider the following whenever they detect bogus degree claims and need to decide upon the appropriate response: Individuals who intentionally choose to misrepresent their educational qualifications and credentials in the hope of gaining an unfair advantage over others for jobs, promotions, reassignment, or other forms of advancement lack trustworthiness and integrity. Even in instances in which the bogus degree claim was not material in the initial employment decision, when the individual is in a sensitive position where standards of trustworthiness and integrity should be particularly high, agencies should seriously consider whether that person should continue in the position.

Agencies have virtually complete discretion in this area. However, we urge them to review the status of such individuals when the positions involve work requiring high public trust, access to sensitive or classified information, fiduciary responsibility, or other elements requiring special standards of trustworthiness and integrity.

OPM, CIG May 1986

CHIEF POSTAL INSPECTOR
Washington, DC 20260-2100

May 5, 1986

The Honorable Claude Pepper
Chairman
Select Committee on Aging
Subcommittee on Health and Long-Term Care
377 House Office Building, Annex 2
Washington, DC 20515

Dear Congressman Pepper:

This is in response to your letter dated April 17, 1986, requesting information on Postal Service employees identified by the Federal Bureau of Investigation as having fraudulent degrees. Three postal employees were named in the report accompanying your request.

The Postal Inspection Service has concluded its investigation of this matter. In all cases, it was determined that none of the individuals submitted fraudulent credentials for hiring purposes. One of the employees did present fraudulent credentials when applying for a higher level position. Our investigation disclosed, however, that the degree was not a prerequisite for the position nor was it a factor in the individual's subsequent promotion. Based on the facts of this case, Postal Service management has taken disciplinary action against the employee. No evidence was developed to indicate any of the employees violated existing federal statutes.

The Postal Inspection Service shares your concern about this very serious problem. However, with a total workforce exceeding 744,000 employees, the Postal Service is unable to authenticate the qualifications of all employees. We recognize the need to identify individuals having fraudulent credentials and we are continuing in our efforts to prevent this type of abuse.

Sincerely,

C. R. Clauson

Office of Inspector General

Washington D.C. 2042

Veterans Administration

In Reply Refer To:

APR 24 1986

Honorable Claude D. Pepper
Chairman, Subcommittee on Health
and Long-Term Care
U.S. House of Representatives
377 House Office Building Annex 2
Washington, D.C. 20515

Dear Mr. Chairman:

Reference is made to your letters of June 5, 1985, and April 17, 1986, relative to your hearing on diploma mills and fraudulent degrees.

Please be advised that on April 14, 1986 my office received a Federal Bureau of Investigation report dated October 17, 1985. This report similarly discloses the names of the two VA employees identified in your hearing as receiving fraudulent degrees.

This information was provided to the appropriate program official, Mr. Michael Rudd, Director, Office of Personnel and Labor Relations, for review and evaluation of any misrepresentations or false applications. My office will then support any investigative needs determined by Mr. Rudd and his staff.

I trust this is responsive to your needs and Mr. Rudd will provide you with the Veteran's Administration determination under separate cover.

Sincerely,

Frank S. Sato

FRANK S. SATO
Inspector General

Office of Personnel
and Labor Relations

Veterans
Administration

MAY 30 1986

In Reply Refer To: 054C

Honorable Claude D. Pepper
Chairman, Subcommittee on Health
and Long-Term Care
Select Committee on Aging
House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

I am pleased to reply further to your letter of April 17, 1986, about two Veterans Administration (VA) employees who purchased fraudulent education credentials.

Chicago (Lakeside) VA Medical Center officials advised us that from June 1980 to September 1985, they employed Mr. Frank Toney, Jr., as a Utilities System Operator. This is a wage grade position not requiring a bachelor's degree. Center officials have no record of Mr. Toney's fraudulent degree.

Temple VA Medical Center officials told us that they employ Mr. Johnny Davis as a Police Officer, a position for which a bachelor's degree is not required. They said that Mr. Davis was promoted to his current position before he obtained the fraudulent degree. Two years ago, when Center officials first learned of this degree, they discussed it with Mr. Davis and deleted all references to it from his personnel records.

In view of the circumstances of the above cases, we believe that no further action is warranted.

Application forms for VA employment require candidates to attest to the truthfulness of the information they have provided. Disciplinary or adverse action, including termination of employment, may be taken against employees who have relied on fraudulent credentials to enhance employment opportunities. Information concerning possible possession of fraudulent credentials by VA employees is reviewed carefully and action is taken according to the impact the invalid credential has had in VA or Federal employment.

Honorable Claude D. Pepper

I hope this information is helpful. Thank you for your interest in the Veterans Administration.

Sincerely,

MICHAEL RUDE for
Director, Office of Personnel
and Labor Relations

APPENDIX II

U.S. House of Representatives

SELECT COMMITTEE ON AGING

SUBCOMMITTEE ON HEALTH AND LONG-TERM CARE

377 HOUSE OFFICE BUILDING ANNEX 2

Washington, DC 20515

April 15, 1986

Dear Mr. Lochard:

You may know that the Subcommittees on Health and Long-Term Care and Housing and Consumer Interests of the House Select Committee on Aging held a hearing on fraudulent credentials on December 11, 1985.

The Subcommittee staff received a number of documents from Federal law enforcement officials indicating that individuals have purchased or obtained with little or no additional academic effort advanced college degrees. Three institutions mentioned were the Northwestern College of Allied Science, American Western University, and Southwestern University. The proprietor of these institutions pled guilty on May 22, 1985 to charges of mail and wire fraud.

One of these documents, provided to us by the Federal Bureau of Investigation (FBI), indicates that you obtained a B.S. in Engineering and Technology from one of these schools. This document, used in the court proceedings, will be released to the public by me in the near future.

I am planning to issue a report which describes the progress made since our hearing. The report will also give any individual named in the documents an opportunity to place on the record any extenuating circumstances, corrections, or additional information he or she would like to provide.

If you would like your letter to be part of the report, please respond to the above address no later than May 5, 1986.

With kindest regards.

Very sincerely,

Claude Pepper
Chairman

Mr. C. Keith Lochard
U.S. Department of Defense
General Foreman
Camp Casey, Korea
APO San Francisco, CA 96224

CP:mm

April 26, 1986

Dear Mr. Pepper:

You are correct! I do not believe that the $575.00 that I invested in Southwestern University was worth a damn.

Sincerely,

C. Keith Lochard

C. Keith Lochard
A.F.E.
APO San Francisco, CA
96224-0082

Honorable Claude Pepper
U.S. House of Representatives
Washington, D.C. 20515

28 April 1986

Dear Sir:

In regards to your letter dated 15 April 1986 involving your subcommittees action on fraudulent credentials on 11 December 1986; the following information is hereby submitted as additional information on my behalf.

The advertisement which listed the American Western University as an accredited institution, offering college degrees, for "work, life, and academic experience", appeared in the "Air Force Times" newspaper of which I am a subscriber. I was not aware of any illegal activity until I was visited by an FBI Agent, and was advised of the case pending against this institution and others. I cooperated with the FBI Agent in everyway, giving him copies of all information that I had received from this institution.

My action in obtaining this degree was one of personal satisfaction only.

I am very happy to hear of your action to remove these illegal institutions from the public. Since your letter, I have noticed several other institutions on the West Coast advertising the same types of degrees in the local newspapers.

Charles E. Phillips
24719 Hemlock Ave
Sunnymead, CA 92388

Congressmen Claude Pepper
Federal Office Bldg room 904
51 S.W. First Ave
Miami, FL 33130

Dear Congressmen Pepper, 12 May 86

I just saw your artical on phony degrees. I am not in a sensitive position., GS-9 , 2001 Supply Specialist, haven't a clearance but have just been informed by the artical attached that I have a bogus degree from Northwestern College. As you stated I sent my personnel experience, college transcripts from Northern Virginia Community College and Park College, book reports and evaluation fees. As the transcript from Northwestern states, I transfered credits. Also the diploma stated "by authority vested in us by the state of Oklahoma". I believed my degree to be a good one. I acquired this degree while a GS-6 Supply Specialist. I entered the intern program in 1985, took a down grade to GS-5 and believing the degree factual, included it in my 171. Now I have completed the intern program and am a GS-9 as stated. What can I do to correct the situation I now find myself.

I never intended to defraud my 171 or the government. I have worked to long and hard. Please tell me what actions I should take.

Sincerely,

Frederick L. Morris
P.O. Box 872
APO N.Y. 09052

Academic Record of Student
Resident Center (Ft. Myer) MON

ACCEPTED CREDIT FOR ADVANCED STANDING

From:	MILITARY SERVICE	
	Hygiene	2
	First Aid	2
	Physical Education	4
	PMOS-71L10	
	Business Communications	1
From:	NORTHERN VIRGINIA COMMUNITY COLLEGE	
	Intro to Business	2
	U S History I, III	4
	Prin of Appl Psyc	2
	Psyc of Personality	2
	Cur Amer Soc Prb I, III	4
	Hist West Phil II	2
	Survey of Urban III	2

	TOTAL EARNED HOURS	EARNED PARK HOURS	GP HOURS	GP	GPA
CUM:	27	0	0	0	0.000

From:	NORTHERN VIRGINIA COMMUNITY COLLEGE			
	U S Government I			2
	Intro Soci I,III			4
CUM:	33	0	0	0	0.000

10/19/81 - 12/19/81

11708	Basic Mathematics	3	D	9
21502	Expository Writing	3	D	3
CUM:	39	6	6	12	2.000

MICROFILMED

L# 5

1/4/82 - 3/6/82

20570	Personnel Management	3	C	6
22001	Social Psychology	3	C	6
CUM:	45	12	12	24	2.000

MICROFILMED

L# 6

3/15/82 - 5/15/82

31517	American Literature I	3	D	3
42090	SpTpc SocPsy: Human Sexuality in Modern Society	3	C	6
CUM:	51	18	18	33	1.833

MICROFILMED

Page 1 of ____

Conferred
Major

PARK COLLEGE
Parkville, Missouri - 64152
School for Community Education

Total Semester Hours

OFFICIAL SEAL

MORRIS, Frederick L.

Born 8/30/57 Admitted 9/11/81

5/24/82 - 7/24/82

22204	Study of the Family	3	A	12
42001	Abnormal Behavior	3	A	12
CUM:	57	24	24		2.375

MICROFILMED

L# 8

8/ /82 - 10/2/82

11501	College English I	3	C	6
12201	Intro to Political Science	3	A	12
CUM:	63	30	30	35	2.500

MICROFILMED

L# 9

10/12/82 - 12/13/82

30805	Developmental Psychology	3	B	9
31905	Meteorology	3	B	9
CUM:	69	36	36	93	2.583

MICROFILMED

L# 10

1/10/83 - 3/12/83

10501	Intro to Management	3	C	6
11770	Probability & Statistics	3	I	0*
30802	Tests & Measurements	3	C	6
CUM:	75	42	42	105	2.500

41

Northwestern College

Of Allied Sciences

To all whom these presents shall come, Greetings:
The Administration of Northwestern College
does hereby confer upon

Frederick Lyle Bartholomew Morris

who has satisfactorily and honorably completed our requirements
of study and training; the degree of:

Master of Social Sciences

In Testimony Thereof, and by virtue of the authority vested in us by the State of Oklahoma Through our Parent Charter, in the year 1956, this degree is this day conferred from the Open Campus College at Tulsa, Oklahoma. Signed and sealed this 21st day of Sept. 19 81

Chancellor of the College

President

Northwestern College of Allied Sciences

Address all correspondence to: REGISTRAR, BOX 3388, TULSA, OK 74101

OFFICIAL TRANSCRIPT

Name:	Fred L. Morris	**Birth Date:**	August 30, 1957	**Social Security No.**	231-86-2165
Matriculation Date:		**Location:**	New Castle, PA		
Home Address:	P.O.Box 4531	**City and State:**	Arlington, VA 22204		
Parent or Guardian:		**Address:**			
High School:		**H. S. Address:**			
Date of Graduation:		**Rank in Class:**			
Degree:	Master of Arts	**Date:**	September 21, 1981		
Instructional Unit:		**Graduated from:**	Tulsa Open Campus		
Major:	Social Science	**Minor:**			

Honors, Awards, Thesis Title:

COURSE TITLE	DEPT.	Course Number	Cr. Hrs.	GRADE
Methods of Research in Sociology	Soc	300	3	B
Introductory Social Research	Soc	305	3	A
Sociological Analyses	Soc	311	3	A
Field Experience in Applied Sociology	Soc	315	3	A
Social Organization	Soc	320	3	B
Population Analysis	Soc	345	3	A
Collective Behavior	Soc	352	3	A
The Sociology of Urban Life	Soc	370	3	B
Juvenile Delinquency	Soc	383	3	B
Development of Social Theory	Soc	411	3	A
Social Stratification	Soc	522	3	B
Contemporary Theory	Soc	546	3	A
Thesis Research	Soc	598	9	Pass
Thesis	Soc	599	6	Pass

Thesis requirements met, accepted, and approved.
Transfer credits were allowed for past experience in field related subjects.

AVERAGE GRADE CERTIFIED
3.4

CERTIFIED BY
[signature]
REGISTRAR

Not Official Without College Seal

Registrar

[illegible]

[illegible] AFB:

I [illegible] [illegible] [illegible] after April 15, [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] the following [illegible] [illegible] [illegible]. It ought to [illegible] that I [illegible] [illegible] advance a degree [illegible] [illegible] additional academic effort.

When I submitted my application to Southwestern University for an advance degree (Ph.D.), I submitted a copy of my transcripts for both my undergraduate and graduate degrees. In the MA I had an [illegible] 18 hours for classes I had audited in History. My Guild transcript will attest to this.

I graduated from both the Army War College and the Industrial College of the Armed Forces in 1976, subsequent to the time I received my MA degree in History.

The George Washington University Graduate School of Political Science (GWU) both gave transfer hours for graduate credit for completion of these two College Level Academic Programs at their institutions.

With the 24 hours of credit plus the 15 hours of graduate credit from GWU this totals 42 hours of graduate level work. I presented this to the Graduate Committee and the FSI to include giving the FSI Academic Dean the authority to grant the initial hours of credit from the Defense War College and the Industrial College of the Armed Forces which I have transposed.

Additionally, I submitted a dissertation to Georgetown University for graduate credit since I knew such a requirement existed, although not required by that University.

I submit that these academic pursuits plus my worldwide travels to include a 17 day academic trip to the People's Republic of China with the

Individual [illegible] of the [illegible] of Texas -
qualified [illegible] for the degree [illegible] according
to their requirements. I do not regret the
choice that my degree were obtained "with
little or no additional academic effort" that
you state in your letter.

Sincerely
Frederick B Hall

CLAUDE PEPPER, FLORIDA
Chairman

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CONSULTANTS

(202) 226-3381

U.S. House of Representatives

SELECT COMMITTEE ON AGING

SUBCOMMITTEE ON HEALTH AND LONG-TERM CARE

377 HOUSE OFFICE BUILDING ANNEX 2

Washington, DC 20515

April 15, 1986

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MARK BENEDICT, J.D.
MINORITY STAFF DIRECTOR

LORI LIGHTFOOT
ASSISTANT STAFF DIRECTOR

(202) 226-3383

Dear Mr. Meaney:

You may know that the Subcommittees on Health and Long-Term Care and Housing and Consumer Interests of the House Select Committee on Aging held a hearing on fraudulent credentials on December 11, 1985.

The Subcommittee staff received a number of documents from Federal law enforcement officials indicating that individuals have purchased or obtained with little or no additional academic effort advanced college degrees. Three institutions mentioned were the Northwestern College of Allied Science, American Western University, and Southwestern University. The proprietor of these institutions pled guilty on May 22, 1985 to charges of mail and wire fraud.

One of these documents, provided to us by the Federal Bureau of Investigation (FBI), indicates that you obtained a B.S./B.A. degree from one of these schools. This document, used in the court proceedings, will be released to the public by me in the near future.

I am planning to issue a report which describes the progress made since our hearing. The report will also give any individual named in the documents an opportunity to place on the record any extenuating circumstances, corrections, or additional information he or she would like to provide.

If you would like your letter to be part of the report, please respond to the above address no later than May 5, 1986.

With kindest regards.

Very sincerely,

Claude Pepper

Claude Pepper
Chairman

Mr. George G. Meaney
Post Office Box 17
North Highlands, CA 95660

CP:mm

P.O. BOX 17
NORTH HIGHLANDS CA
95660

DEAR CONGRESSMAN PEPPER

I AM RESPONDING TO YOUR ATTACHED LETTER OF APRIL 15, 1986 REGARDING THE B.S./B.A. DEGREE I RECEIVED FROM AMERICAN WESTERN UNIVERSITY (AWU) IN 1981. THE FOLLOWING DETAILS, ARE STATED, TO THE BEST OF MY ABILITY, AS I REMEMBER THEM.

IN 1981 I WAS PLANNING TO WORK OVERSEAS. AT THAT TIME I WAS ATTENDING EVENING CLASSES AT CALIFORNIA STATE UNIVERSITY SACRAMENTO (CSUS) WORKING TOWARD A B.S. DEGREE. I HAD SOME CONCERN ABOUT COMPLETING MY EDUCATION WHEN A FRIEND SUGGESTED I LOOK INTO COLLEGE DEGREES BY MAIL. I SAW AN AD ADVERTISING DEGREES BY MAIL THAT WAS SPONSERED BY AWU. AFTER RESPONDING TO THE AD I RECEIVED AN AWU BROCHURE AFTER SEVERAL TELEPHONE CONVERSATIONS WITH AWU PERSONNEL I WAS SATISFIED THEY WERE LEGALLY CHARTERED AND ACCREDITED. I THEN PROCEEDED WITH THE REQUIREMENTS TO OBTAIN A DEGREE.

I SUBMITTED MY LIFE RESUME WHICH INCLUDED MY COMPLETE WORK HISTORY AND EDUCATIONAL BACKGROUND. MY EDUCATIONAL CREDITS IN 1981 SHOWED I HAD A TOTAL OF 113 COLLEGE CREDITS WHICH PUT ME AT THE SENIOR COLLEGE LEVEL AT CSUS. THESE CREDITS BESIDES COURSES COMPLETED AT CSUS INCLUDE COURSES TAKEN AT PACE COLLEGE NEW YORK IN 1956-57 AND NEW YORK UNIVERSITY NEW YORK IN 1958-60. IN ADDITTION TO THESE CREDITS I SUBMITTED SEVERAL CERTIFICATES OF COMPLETION FOR CORRESPONDENCE COURSES AND MILITARY COURSES WHICH WERE NOT ACCEPTABLE FOR CREDIT BY CSUS. I WAS TOLD BY AWU WHICH THEIR BROCHURE REINFORCED THAT BETWEEN MY COLLEGE CREDITS AND WORK EXPERIENCE PARTICULARLY WORKING AS A TELEPHONE OUTSIDE PLANT ENGINEER (NON-DEGREE) WOULD BE MORE THAN SUFFICIENT TO QUALIFY ME FOR A DEGREE WITHOUT HAVING TO TAKE ANY ADDITIONAL CORRESPONDENCE COURSES.

IN 1983 I WAS INTERVIEWED BY THE FEDERAL BUREAU OF INVESTIGATION (FBI) CONCERNING MY DEGREE. THEY ADVISED ME THEY WERE CONDUCTING AN INVESTIGATION OF AWU AND ASKED ME QUESTIONS. I ANSWERED ALL QUESTIONS TO THE BEST OF MY ABILITY, SHOWE

THEM COPIES OF MY DEGREE AND BROCHURE FROM AWU WHICH THEY REPRODUCED. I ALSO AGREED TO BE A WITNESS IF REQUIRED.

THE THOUGHT MY DEGREE MAY NOT BE VALID CAUSED ME MUCH CONCERN. I DISCUSSED THIS WITH SEVERAL PEOPLE I KNEW AND AFTER MUCH CONSTERNATION DECIDED TO WAIT UNTILL A FINAL DECISION WAS MADE BEFORE TAKING ANY ACTION. I ALSO ATTEMPTED WITHOUT SUCCESS TO CONTACT AWU BY MAIL AND TELEPHONE.

UNPON RECEIPT OF YOUR LETTER WHICH CONFIRMED THE GUILT OF AWU I HAVE TAKEN ACTION TO HAVE MY DEGREE DELETED FROM MY EDUCATIONAL RECORDS.

TO SUMMARIZE I WOULD LIKE TO REPEAT THAT WHEN I APPLIED FOR MY DEGREE AT AWU I HAD COMPLETED 113 COLLEGE CREDITS, SEVERAL CORRESPONDENCE AND MILITARY COURSES WHICH PUT ME IN MY SENIOR YEAR OF ACADEMIC EFFORTS. I WOULD ALSO LIKE TO STATE THAT I HAVE NOT BEEN PROMOTED TO DATE OR RECEIVED ANY COMPENSATION SINCE OBTAINING MY DEGREE IN CONCLUSION I HAVE NEVER BEEN INVOLVED IN A SITUATION LIKE THIS BEFORE AND WILLING TO PROVIDE PROOF OF MY STATEMENTS IF REQUIRED.

SINCERELY,

Joseph D. Meaney

P.O. BOX 17
NORTH HIGHLANDS CA.
95660

HOME PH. (916) 723 9653

April 11, 1996

Dear Representative Pepper:

During the latter months of 1991, I submitted to American Western University a copy of my SF 171 and asked which additional courses I would need to qualify for a Masters Degree in Social Welfare. I received a call stating that my credentials had been sent to Ohio for review. Later I received another call informing me that I had qualified and to submit the required payment-which I charged to my Master Charge.

It was not not was it ever been my intention to use the degree to gain employment or promotion. None of the positions which I have held during my 21 years of federal government employment whether by promotion or reassignment require a degree.

Sincerely yours,

Vivian C. Pedd

Vivian C. Pedd
2201 S. J. Davis [illegible]
Arlington, VA 22202

CHAIRMAN
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U.S. House of Representatives

SELECT COMMITTEE ON AGING
SUBCOMMITTEE ON HEALTH AND LONG-TERM CARE
377 HOUSE OFFICE BUILDING ANNEX 2
Washington, DC 20515

April 15, 1986

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MARK BENEDICT, J.D.
MINORITY STAFF DIRECTOR

LORI LIGHTFOOT
ASSISTANT STAFF DIRECTOR

(202) 226-3283

Dear Ms. Redd:

You may know that the Subcommittees on Health and Long-Term Care and Housing and Consumer Interests of the House Select Committee on Aging held a hearing on fraudulent credentials on December 11, 1985.

The Subcommittee staff received a number of documents from Federal law enforcement officials indicating that individuals have purchased or obtained with little or no additional academic effort advanced college degrees. Three institutions mentioned were the Northwestern College of Allied Science, American Western University, and Southwestern University. The proprietor of these institutions pled guilty on May 22, 1985 to charges of mail and wire fraud.

One of these documents, provided to us by the Federal Bureau of Investigation (FBI), indicates that you obtained a Master's Degree in Social Work from one of these schools. This document, used in the court proceedings, will be released to the public by me in the near future.

I am planning to issue a report which describes the progress made since our hearing. The report will also give any individual named in the documents an opportunity to place on the record any extenuating circumstances, corrections, or additional information he or she would like to provide.

If you would like your letter to be part of the report, please respond to the above address no later than May 5, 1986.

With kindest regards,

Very sincerely,

Claude Pepper
Chairman

Ms. Vivian C. Redd
2301 South Jefferson Davis
Arlington, VA 22202

CP:mm

April 1, 1986

Dear Representative Pepper:

During the latter months of 1981, I submitted to American Western University a copy of my SF 171 and asked which additional courses I would need to qualify for a Masters Degree in Social Welfare. I received a call stating that my credentials had been sent to Ohio for review. Later I received another call informing me that I had qualified and to submit the required payment-which I charged to my Master Charge.

It was not nor has it ever been my intention to use the degree to gain employment or promotion. None of the positions which I have held during my 21 years of federal government employment whether by promotion or reassignment require a degree.

Sincerely yours,

Vivian C. Redd
2301 S. J. Davis #1316
Arlington, VA 22202

Attachments

Standard Form 171-A – Continuation Sheet for SF 171

Form Approved: OMB No. 3206-0012

• Attach all SF 171-A's to your application at the top of page 3.

1. Your Last Name, First Name: Redd, Vivian Cortezza

2. Your Social Security Number: 228-44-2689

3. Job Title or Announcement Number You Are Applying For:

4. Date Completed: 4/21/86

EMPLOYMENT RECORD – Start with your present or most recent job. Include military service and volunteer work.

☐ Name and address of employer's organization (include ZIP Code if known): U. S. Patent and Trademark Office, Washington, DC 20231

Dates employed (give month and year): From ____ To ____

Salary or earnings: Starting $ ____ per ____ Ending $ ____ per ____

Average number of hours per week:

Place of employment: City ____ State ____

Exact title of your job: Senior Document Projects Assistant

Your immediate supervisor: Name ____ Area Code ____ Telephone Number ____

Number and job titles of any employees you supervised:

Kind of business or organization (manufacturing, accounting, social service, etc.):

If federal employment, civilian or military, list series, grade or rank, and the date of your last promotion:

Your reason for leaving:

Description of work: Describe your specific duties, responsibilities, and accomplishments in this job. If you describe more than one type of work (for example, carpentry and painting or personnel and budget), write the approximate percentage of time you spent doing each.

Based on the attached letter from Representative Claude Pepper, I am removing from my SF 171-23C the reference to the Masters Degree in Social Welfare received from American Western University .

Vivian C. Redd
April 21, 1986

For Agency Use (skill codes, etc.):

☐ Name and address of employer's organization (include ZIP Code if known):

Dates employed (give month and year): From ____ To ____

Salary or earnings: Starting $ ____ per ____ Ending $ ____ per ____

Average number of hours per week:

Place of employment: City ____ State ____

Exact title of your job:

Your immediate supervisor: Name ____ Area Code ____ Telephone Number ____

Number and job titles of any employees you supervised:

Kind of business or organization (manufacturing, accounting, social service, etc.):

If federal employment, civilian or military, list series, grade or rank, and the date of your last promotion:

Your reason for leaving:

Description of work: Describe your specific duties, responsibilities, and accomplishments in this job. If you describe more than one type of work (for example, carpentry and painting or personnel and budget), write the approximate percentage of time you spent doing each.

For Agency Use (skill codes, etc.):

CLAUDE PEPPER, FLA., CHAIRMAN
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BUTLER DERRICK, S.C.
RON WYDEN, ORE.
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MICHAEL BILIRAKIS, FLA.
MICHAEL L. DIXON, CALIF.
MATTHEW J. RINALDO, N.J. (EX OFFICIO)

MARK BENJAMIN
MINORITY STAFF DIRECTOR
SUSAN RO
ASSISTANT MINORITY STAFF DIRECTOR

U.S. House of Representatives
SELECT COMMITTEE ON AGING
SUBCOMMITTEE ON HEALTH AND LONG-TERM CARE
715 HOUSE OFFICE BUILDING ANNEX 1
Washington, D.C. 20515
(202) 226-3381

July 1, 1986

Dear Mr. Wigfall:

You may know that the Subcommittees on Health and Long-Term Care and Housing and Consumer Interests of the House Select Committee on Aging held a hearing on fraudulent credentials on December 11, 1985.

The Subcommittee staff received a number of documents from Federal law enforcement officials indicating that individuals have purchased or obtained with little or no additional academic effort advanced college degrees. Three institutions mentioned were the Northwestern College of Allied Science, American Western University, and Southwestern University. The proprietor of these institutions pled guilty on May 22, 1985 to charges of mail and wire fraud.

One of these documents, provided to us by the Federal Bureau of Investigation (FBI), indicates that you obtained a BS/BA degree from one of these schools. This document, used in the court proceedings, was recently released by the Subcommittee.

I am planning to issue a report which describes the progress made since our hearing. The report will also give any individual named in the documents an opportunity to place on the record any extenuating circumstances, corrections, or additional information he or she would like to provide.

If you would like your letter to be part of the report, please respond to the above address no later than July 15, 1986.

With kindest regards.

Very sincerely,

Claude Pepper
Chairman

Mr. Daniel Wigfall
Post Office Box 14076
Cleveland, OH 44114

CP:mm

July 10, 1986

Honorable Claude Pepper, Chairman
Subcommittee on Health and Long Term Care
Housing and Consumer Interests of the House
Select Committee on Aging
U. S. House of Representatives
Washington, D. C. 20515

Dear Congressman Peper:

I am writing in response to your letter dated July 1, 1986, concerning a college degree issued to me by American Western University.

The degree has not enhanced my position in any way as Chief Deputy U. S. Marshal with the U. S. Marshals Service. I thought the degree was fully accredited. Everything I had read about getting a degree by evaluation of life experiences and other training had convinced me this degree was authentic.

I questioned the school several times concerning accreditation. Members of their staff assured me the degree was fully accredited. The degree has brought nothing but grief to me and public humiliation. Not only have I lost money to American Western University by mail fraud, but also received a degree worth less than the paper it was printed on. I am the victim of this deceit and fraud.

I am in full support of any appropriate steps that can be taken to combat the sale of such fraudulent degrees.

Very sincerely,

Daniel Wigfall

Daniel Wigfall

CLAUDE PEPPER FLORIDA, CHAIRMAN
EDWARD R. ROYBAL CALIFORNIA EX OFFICIO

KATHLEEN GARDNER CRAVES
STAFF DIRECTOR

MELANIE MODLIN
ASSISTANT STAFF DIRECTOR

PETER RENECKE
DIRECTOR OF RESEARCH

JAY CONSTANTINI
BILL MCAMANDARIS
LEWIS H. KULLER, M.D., D.P.H.
LEONARD SCHWARTZ, M.D.
CONSULTANTS

(202) 226-3381

U.S. House of Representatives

SELECT COMMITTEE ON AGING
SUBCOMMITTEE ON HEALTH AND LONG-TERM CARE
377 HOUSE OFFICE BUILDING ANNEX 2
Washington, DC 20515

April 15, 1986

MARK BENEDETTO (ZI)
MINORITY STAFF DIRECTOR

LORI LIGHTFOOT
ASSISTANT STAFF DIRECTOR

(202) 226-3382

Dear Mr. Marshall:

You may know that the Subcommittees on Health and Long-Term Care and Housing and Consumer Interests of the House Select Committee on Aging held a hearing on fraudulent credentials on December 11, 1985.

The Subcommittee staff received a number of documents from Federal law enforcement officials indicating that individuals have purchased or obtained with little or no additional academic effort advanced college degrees. Three institutions mentioned were the Northwestern College of Allied Science, American Western University, and Southwestern University. The proprietor of these institutions pled guilty on May 22, 1985 to charges of mail and wire fraud.

One of these documents, provided to us by the Federal Bureau of Investigation (FBI), indicates that you obtained a B.A. Degree in Civil Engineering, a Master's Degree in Civil Engineering, and a Doctoral Degree in Civil Engineering from one of these schools. This document, used in the court proceedings, will be released to the public by me in the near future.

I am planning to issue a report which describes the progress made since our hearing. The report will also give any individual named in the documents an opportunity to place on the record any extenuating circumstances, corrections, or additional information he or she would like to provide.

If you would like your letter to be part of the report, please respond to the above address no later than May 5, 1986.

With kindest regards,

Very sincerely,

Claude Pepper
Chairman

Mr. Lyman E. Marshall
14 Blueberry Lane
Rye, NH 03870

CP:mm

May 2, 1983

Claude Pepper
Chairman

Subject: Fraudulent Credentials
Southwestern University

MAY - 5 1983

In 1982 I was working in the Philippine Islands building a nuclear power plant for the Philippine Government. Westinghouse personnel sent us a paper stating that in a few months Pennsylvania was passing a law ending the chance of getting a professional engineer's license through the grandfathers clause. We were kind of down because we would not be able to take home leave in time to take the test. One of the contract people said: At least you can still get your degree with the grandfathers clause, you know that with 35 years in the business you have a lot of qualifications in these degree programs that allow for actual experience. He then showed us the address in several magazines, like the Popular Mechanics, that advertised schools like I.C.S. and several in California, Ohio, Arizona, etc.

I wrote to several of these and got an answer from Southwestern University. I was asked to send a complete history of my education and my life and work experience which I did. I was told that faculty advisors would review this and let me know if I qualified, what courses I might need and tests I might have to take when I was on home leave. I was then told I had qualified and they would let me know when I was accepted and what work I needed to do.

I sent the fees as requested and two months later the degrees were at my home mailing address, stating that in the opinion of the board of advisors the hands on experience of 35 years, being well rounded enough so that no courses or tests would be required.

Since then I have talked to the F.B.I. in 1983, who told me the school was under investigation. I tried to contact the school, but never got an answer. Please find enclosed the paper work we are sending you. I am three thousand dollars poorer and still have no degree, but am still with this company in my 17th year and having worked from the bottom of the business up to where I am now, having shepherded many PhD's along the way.

If you can help me get my money back it would be greatly appreciated.

Sincerely,
L.E. Marshall

SOUTHWESTERN UNIVERSITY

ACADEMIC RECORD

Address all correspondence to: SOUTHWESTERN UNIVERSITY
RECORDS DEPT
4621 North First Avenue Dept. 5
Tucson, Arizona 85718

Record of: Lyman E. Marshall

Date of Birth
Location

Student Ident No.: 003-12-7550

Perm. Address: 14 Blueberry Lane

City and State: Rye, NH. 03870

Degree: Doctor
Instructional Unit:
Major: Civil Engineering

Date: August 15, 1982
Graduated from: Tucson Campus
Minor:

Honors, Awards, Thesis Title:

SUBJECT TITLE	DEPT	Course Number	Sem Hrs	GRADE
Advanced Civil Engineering	CE	821	4	Cr.
Civil Engineering Practicum	CE	824	4	Cr.
Advanced Soil Mechanics	CE	831	4	Cr.
Adv. Construction Eng.	CE	836	4	Cr.
...il Engineering Materials	CE	842	4	Cr.
Soil Dynamics	CE	845	4	Cr.
Civil Engineering Practicum	CE	849	4	Cr.
Adv. Materials	CE	851	4	Cr.
Adv. Construction	CE	854	4	Cr.
Adv. Hydrology	CE	861	4	Cr.
Concrete Design	CE	867	4	Cr.
Concrete & Aggregates	CE	868	4	Cr.
Applied Hydrology	CE	873	4	Cr.

*Equivalency credits were allowed for past experience in field-related subjects.
*Transfer credits were allowed for past academic courses.

GRADE REPORT

EXPLANATION OF GRADE AND POINT SYSTEM: A POINT OF CREDIT REPRESENTS ONE HOUR OF LECTURE PER WEEK FOR ONE SEMESTER OR THE EQUIVALENT. A=80-100% B=70-79% C=60-69% D=50-59% NO QUALITY CREDIT. F=BELOW 60% FAILURE. ABS=ABSENT FROM EXAMINATION. INC=WORK INCOMPLETE. NCE=DROP. WDP=WITHDREW PASSING. WDF=WITHDREW FAILING. T=TRANSFER CREDIT. A QUALITY POINT SYSTEM IS USED TO TRANSLATE THE ALPHABETICAL MARKING SYSTEM INTO NUMERICAL CREDITS. A=3 QUALITY POINTS FOR EACH CREDIT. B=2 C=1. D & F=0. A TOTAL OF QUALITY POINTS EQUAL TO THE NUMBER OF HOUR POINTS NECESSARY FOR THE COMPLETION OF A DEGREE OR CERTIFICATE IS THE MINIMUM REQUIREMENT. A FEE OF $2.00 IS CHARGED FOR EACH ADDITIONAL OFFICIAL TRANSCRIPT. (*=EVALUATION EQUIVALENCY.)

Not Official Without Seal

Registrar

THIS IS A CERTIFIED COPY OF THE RECORD FOR THE ABOVE STUDENT

Viola M Clark

VIOLA M. CLARK, REGISTRAR
OFFICE OF THE REGISTRAR

CERTIFIED GRADE AVERAGE

Disclosure of information contained on this transcript may not be made to another party without the prior written consent of the student whose name appears hereon. This prohibition shall be construed to the maximum extent permissible under the Family Educational Rights and Privacy Act of 1974, as amended, and the regulations promulgated thereunder.

SOUTHWESTERN UNIVERSITY
ACADEMIC RECORD

Address all correspondence to: SOUTHWESTERN UNIVERSITY
RECORDS DEPT
4621 North First Avenue Dept. 5
Tucson, Arizona 85718

Record of: Lyman E. Marshall
Date of Birth
Location
Student Ident No. 003-12-7550

Perm. Address: 14 Blueberry Lane
City and State: Rye, NH. 03870

Degree: Master of Arts
Instructional Unit:
Major: Civil Engineering
Date: June 15, 1982
Graduated from: Tucson Campus
Minor:

Honors, Awards, Thesis Title:

SUBJECT TITLE	DEPT	Course Number	Sem Hrs	GRADE	SUBJECT TITLE	DEPT	Course Number	Sem Hrs	GRADE
Civil Engineering Systems	CE	604	4	Cr.					
Applied Hydrology	CE	607	4	Cr.					
Construction Materials	CE	611	4	Cr.					
Soil & Structural Mechanics	CE	615	4	Cr.					
Civil Engineering Economics	CE	621	4	Cr.					
Construction Methods &Equipment	CE	609	4	Cr.					
Water Resource Systems	CE	634	4	Cr.					
Mechanical Properties of Engineering Materials	CE	644	4	Cr.					

*Equivalency credits were allowed for past experience in field related subjects. Transfer credits were allowed for past academic courses.

GRADE REPORT

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VIOLA M. CLARK, REGISTRAR
OFFICE OF THE REGISTRAR

CERTIFIED GRADE AVERAGE

N/A

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[redacted]

ACADEMIC RECORD

Address all correspondence to SOUTHWESTERN UNIVERSITY
RECORDS DEPT
4621 North First Avenue Dept. 5
Tucson, Arizona 85718

Record of: Lyman E. Marshall
Date of Birth:
Location:
Student Ident. No.: 093-12-7550

Perm. Address: 14 Blueberry Lane
City and State: Rye, NH. 03870

Degree: Bachelor of Science
Date: April 15, 1982
Instructional Unit:
Graduated from: Tucson Campus
Major: Civil Engineering
Minor:

Honors, Awards, Thesis Title:

SUBJECT TITLE	DEPT	Course Number	Sem. Hrs.	GRADE
English	Engl	101	3	Cr.
College Algebra & Trigonometry	Math	121	5	Cr.
Calculus & Analytic Geometry	Math	151	4	Cr.
Introductory Physics	Phys	132	4	Cr.
Calculus & Analytic Geometry	Math	152	4	Cr.
Engineering Mechanics	ME	110	4	Cr.
Engineering Physics	Phys	151	4	Cr.
Industrial Engineering	IE	104	4	Cr.
System Dynamics	ME	81	4	Cr.
Economics	Econ	101	4	Cr.
English	Engl	102	3	Cr.
Engineering Analysis	Eng	108	4	Cr.
Thermodynamics	Eng	114	4	Cr.
Tech. Writing	Engl	112	3	Cr.
Statics	Eng	109	4	Cr.
Strength of Materials	Eng	110	4	Cr.
Dynamics	Eng	111	4	Cr.
Fluid Dynamics	Eng	116	4	Cr.
Chemistry	Chem	104	4	Cr.
Electrical Machinery	EE	105	4	Cr.
Psychology	Psy	101	3	Cr.
Chemistry Lab	Chem	105	4	Cr.
History	Hist	101	3	Cr.
Anthropology	Anth	101	3	Cr.
Physical Science	Eng	100	4	Cr.

SUBJECT TITLE	DEPT	Course Number	Sem. Hrs.	GRADE
Civil Engineering Materials	CE	218	4	Cr.
Structural Eng. Principles	CE	221	4	Cr.
Reinforced Concrete Design	CE	224	4	Cr.
Construction Methods & Equipment	CE	229	4	Cr.
Construction Materials	CE	234	4	Cr.
Observational Analysis	CE	307	4	Cr.
Structural Analysis	CE	256	4	Cr.
Construction Administration	CE	321	4	Cr.

*Equivalency credits were allowed for past experience in field related subjects. Transfer credits were allowed for past academic courses.

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VIOLA M. CLARK, REGISTRAR
OFFICE OF THE REGISTRAR

CERTIFIED GRADE AVERAGE

N/A

[redacted]

External Degree
Evaluation Program
1982

an educational
institution of
modern non-traditional
educational programs.

Southwestern University

1982-83 Bulletin

Southwestern University
Evaluation Center
[illegible]
Dept. S
Tucson, Arizona 85718

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Permit No. 455

1982
School Bulletin

L. E. Marshall
WRI
5 Parkway Center
Pittsburgh, PA 15220
c/o Philippine Proj.

Table of Contents

	Page
Program Concept	3, 4
Program Description	6
Admission Requirements	6
Degrees Offered	7
Degree Requirements & Fees	8
Portfolio Qualifications Guide	8
Degree Approval	9
How To Apply For Your Degree	10
Degree Approval Date	10
Transcripts	11
Record Storage and Degree Verification	11
Curriculum and Fee Changes	12
Transfer of Credits	12
Accreditation	11
University Hours/Holidays	13
Fee Refund Policy	13
Faculty Members	14
Other School Programs	15
School Rings	15

1982 School Bulletin

External Degree Evaluation Program 1982

Southwestern University

PROGRAM CONCEPT

Dear Student

Southwestern University offers an external degree program designed to meet the needs of the busy, working, mature adult. Southwestern University's External Degree Program, one of the newest nontraditional programs in the U.S., has provided to the mature adult an alternative to the traditional classroom method of obtaining a college degree.

Programs offered at Southwestern University are designed to meet the needs of the mature men and women from business industry including the professionals who need an alternative to effectively meet their educational objectives. All programs offered are non-traditional in concept and format but very effective in permitting the student to demonstrate a satisfactory equivalency level of professional competence in specific subject areas. The individual who is sufficiently motivated and capable is given the opportunity of completing a degree objective at his or her own pace without the traditional mandatory classroom lectures, seminars and on campus attendance.

In today's credential conscious society, the lack of a college degree can be disheartening to those highly intelligent people who have the knowledge but may never be given the opportunity to prove their worth only because they lack a college degree. In these times of economic uncertainty, we are faced with an employer's market with the employers choosing the degreed individual to fill the really good jobs. The need for a college degree is no longer a luxury but a downright necessity to move into a more secure career and financial position.

Unless you possess a degree you like many other highly motivated and qualified individuals may never be given the opportunity to even compete for well deserved promotions, raises, and prestige that you have earned through hard work and achievement.

At Southwestern University we have recognized these problems and have developed a new External Degree Program allowing mature adults to complete their degree requirements in a minimum time without disrupting their lives. This is accomplished by utilizing their EXISTING knowledge learned from job experience, past academic credits, military and other life experiences OR any combination of these. It is our belief that these experiences in learning are even more valid, than traditional campus confined classroom based instruction, and that this life learning can be accurately measured.

Our 1982 bulletin will describe the newest external program offered along with all details relating to our new EXTERNAL DEGREE EVALUATION program for your review. Included is an application should you decide to apply for admission. Feel free to call regarding any additional information or questions that you may have.

Yours truly,

V M Clark

V. M. Clark
Admissions Director

1982 BULLETIN

February 1, 1982

Program Information

Telephone (614) 231-9165

Address
Southwestern University Evaluation Center
4621 North First Avenue, Dept. # 5
Tucson, Arizona 85718

Southwestern University does not discriminate on the basis of race, sex, religion, national origin, age, disability, or marital status — in admission, employment, and treatment of students and employees.

Southwestern University represents that the information in this bulletin is accurate as of the press date. Circumstances may require that a given program be withdrawn, or that alternate offerings be made. All applicants are reminded that the Southwestern University is subject to the policies promulgated by the Board of Trustees of Southwestern University. Fees and charges are set forth in accordance with such policies and may well change in response to alterations in policy or actions of the legislature, during the period covered by this publication. The University reserves the right to change its policies without notice.

Southwestern University is an independent University offering alternative, off campus, resident or nonresidential self paced, Bachelor's, Master's, and Doctoral Degree Programs for mature, self motivated adults from business, industry, education, and the professions.

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No part of this bulletin or its contents in part or whole may be reproduced or duplicated by anyone without the written consent of Southwestern University.

PROGRAM DESCRIPTION

In these changing times we as educators are obligated to satisfy the needs of the average person and to let him/her know that it is now possible to receive a bona fide college degree by an evaluation of his or her existing credentials. Schools much like Southwestern University have provided similar programs offering college credits to both U.S. and foreign students around the world, based on the University Without Walls concept, which was established very successfully in the United States in the early 1970's. This program offers a full degree based on your existing experience and past credits through evaluation. We call our newest degree program the "External Degree Evaluation Program" with the purpose of satisfying our students' immediate educational and career needs. This program is not a traditional regimented course by course program. Our degree program has no fixed curriculum or set time schedule for awarding you your degree. Degree requirements are based on a minimum requirements system considering that many mature adults have, through various achievement, gained an educational EQUIVALENCY and have become fully qualified for a degree in their chosen field of interest.

It is possible that you may already possess all the requirements to qualify for a recognized degree award from Southwestern University. Your existing knowledge, as obtained through your job, past education, military, travel, life and various other experiences can indeed qualify you for a university degree in your chosen field. Much of this existing knowledge and valuable experience in your present position may have passed unnoticed and may be considered of little value to your present employer when evaluated separately. These existing achievements, however when evaluated and consolidated into a single college transcript, can earn you your degree.

ADMISSION REQUIREMENTS

The enrollment requirements at SU are specific. All prospective students must submit an application for admission and enrollment. The student will also indicate the method used to pay administrative fee requirements. At SU you may enroll any time of the year, similar to most other U.S. colleges and universities. The Board of Trustees of Southwestern University has unanimously agreed that the MINIMUM requirements for a degree award will be the submission of a portfolio of one's total academic, job and life experiences along with full payment of the required administrative fees.

BACHELOR, MASTER and DOCTORAL DEGREE PROGRAMS

Degree programs offered through evaluation are listed alphabetically for easy reference. If the degree you are seeking is not shown in the following list of degree majors, contact the program information office for further particulars about degree majors including custom programs that may have become available since this bulletin was published. Bachelor, Master, Doctorate degrees are available in each of these major areas of study.

DEGREE MAJORS

Arts
Administration
Administration Management
Accounting
Administration of Justice
Architecture
Art Education
Automotive Technology
Aviation Engineering
Aviation Technology
Behavioral Science
Business Administration
Business Management
Chemistry
Computer Science
Commerce
Communications
Construction Engineering
Corrections
Criminology
Criminal Justice
Chemical Engineering
Civil Engineering
Data Processing
Economics
Engineering
Electrical Engineering
Electronic Technology
Electrical Technology
Elementary Education
Engineering Aviation
Environmental Health
Engineering Science
Environmental Studies
Forestry
Foreign Service
General Education
General Studies
Health Education
Health and Physical Education
Health Science/Studies
Home Economics

DEGREE MAJORS

Hotel/Motel Management
Human Development
Human Resources
Industrial Management
Industrial Engineering
Industrial Education
Industrial Technology
Languages
Law Enforcement
Liberal Arts
Marketing Management
Materials Handling Administration
Materials Technology
Manufacturing Engineering
Management Information
Material Control
Mechanical Design
Mechanical Engineering
Mechanical Technology
Office Administration
Petroleum Engineering
Philosophy
Physical Education
Police Science
Political Science
Psychology
Psychology/Counseling
Public Administration
Real Estate Science
Religion
Social Sciences
Sociology
Theology
Science
Secondary Education
Secretarial Science
Social Welfare/Work Special Studies
Technology
Textile Engineering
Transportation Management
Vocational Technical Education

DEGREE REQUIREMENTS AND FEES

BACHELOR DEGREES:

The total evaluation requirements are a comprehensive portfolio of your academic, life and work experiences OR authentic published thesis in your field of study and an administrative fee of **$575.00**.

GRADUATE DEGREES OFFERED

MASTER DEGREES:

The total evaluation requirements are a comprehensive portfolio of your academic, life and work experiences OR authentic published thesis in your field of study and an administrative fee of **$795.00**.

DOCTORATE DEGREES: B2420

The total evaluation requirements are a comprehensive portfolio of your academic, life and work experiences OR authentic published thesis in your field of study and an administrative fee of **$1,050.00**.

If you submit a thesis in your chosen field of study it should be no less than 20 pages and no more than 150 pages. Your thesis should be typed using single or double spacing. There are no other requirements.

All programs may require a verbal defense of your qualification before final degree approval.

Combination degree programs Bachelor/Master and Master/Doctorate are also available. Call the Program Information Office for more information.

QUALIFICATIONS GUIDE

The minimum requirement for a degree award is a portfolio of your academic, job and life experiences. Your portfolio may be typed or neatly handwritten. It should contain your life experiences, schooling of any kind, work experiences, travel, personal accomplishments, military schooling or experience (if applicable). Your portfolio should be sent along with photo copies of supporting documents as proof. If documents are not available include names and approximate dates as best as you can presently determine. Do not send any original documents as your portfolio will be kept on permanent record.

Your portfolio can be as brief or as lengthy as necessary to tell the story of your life, work experiences, education etc. The content and

length of your portfolio is up to each applicant, as everyone has a different writing style. As a guide however, be as brief as possible but describe your background qualifications as best as you can.

Let us emphasize here that we are interested in far more than merely your formal academic education. We review an overall picture of you as a unique individual with knowledge from a variety of practical and educational experiences obtained in the course of your working life.

You are also permitted to submit a thesis, research paper, book or other publication that you have written which may provide additional proof for the degree that you are requesting. However, this is not a mandatory part of the evaluation.

Your portfolio and paid administrative fee is required at time of application for a successful degree evaluation and the awarding of your degree.

This external degree evaluation program doesn't require classroom attendance, campus residence, or examinations, to satisfy the minimum degree requirements. Please remember this is an EQUIVALENCY evaluation of your EXISTING qualification for a degree award.

DEGREE APPROVAL

The Trustees of the University have unanimously agreed that final approval will be determined by the school review board upon the submitting of your portfolio and full administrative fee payment. A favorable evaluation is required for final approval of your university degree. No examination will be required for final degree approval. If any additional material or information is required you will be contacted by letter or telephone. If your evaluation is of border line acceptance a verbal defense of your degree is required before your degree is approved.

A comprehensive evaluation review of your portfolio (credentials) is considered by our standards to be equivalent to the standard college equivalency tests offered by most traditional colleges and universities throughout the world. Your degree will be issued upon approval of your portfolio by this evaluation process. Upon evaluation approval, your degree will be issued and mailed to you within (5) days at your permanent address in a document mailing tube and by air post. A formal TRANSCRIPT REQUEST FORM will be sent to you by mail at the same time. Fill out and send in requested information as required by the transcript request form.

The total time for your portfolio (qualification, resume etc.) evaluation, degree approval and documents mailed to you is approximately (3) weeks after receipt of your portfolio supporting documents application and fees by the SU Evaluation center. Your official transcript will be issued within (2) weeks after receipt of the formal TRANSCRIPT REQUEST FORM.

DEGREE AUTHENTICITY

Your university degree is a legal academic award and is by our standards equal to any other program offered in the U.S. Your degree is NOT an "Honorary" college degree but an authentic college degree award.

DEGREE DOCUMENTATION

Your degree is type set and printed in Old English on an 8½" x 12" sheet of the highest grade parchment paper by a professional typesetter with your name, type of degree, and graduation date. Your degree is embossed with the official gold seal of Southwestern University. The official transcript of your individual record and of grades earned through your evaluation will be provided with the same authentic seal.

HOW TO APPLY FOR YOUR DEGREE

(1) Decide which degree you feel qualified to apply for. Call the information center for guidance if undecided.

(2) Write a complete portfolio of your life, an academic and occupational background (this can be presented in resume format).

(3) Insure that you have filled out the application form and have enclosed the proper amount of administrative fee in U.S. dollars. Money order or cashiers check are preferred made payable to SOUTHWESTERN UNIVERSITY. Personal checks are accepted, but students must wait an additional (3) weeks for the check to clear. Visa and Master Card credit cards are also accepted for administration fee payment.

(4) Submit portfolio, application and full payment to the Southwestern University address below (send first class) to insure immediate degree evaluation scheduling. No installment payment plan is available at this time.

(5) All data applications and fees are to be sent to **Southwestern University, 4621 North First Avenue, Dept. 5, Tucson, Arizona 85718, Attn: M.J. Jupinko, Ph.D.**

DEGREE APPROVAL DATE

DEGREE APPROVAL DATING: All degrees will be dated on the 15th day of the month of your evaluation approval. All degrees are issued and approved by Southwestern University.

ACCREDITATION

Southwestern University is accredited by the National Association of Open Campus Colleges and is a member of The American Association of Specialized Colleges. Southwestern University is state authorized to award degrees to all qualified students by the authority vested to Southwestern University by the State of Arizona.

TRANSCRIPTS

A certified transcript from Southwestern University is available on request. The transcript is structured as any other college or university transcript. Your transcript will list appropriate data such as your NAME, PERMANENT ADDRESS, DATE & PLACE OF BIRTH, SOCIAL SECURITY NO., DATE & NAME OF DEGREE award issued. All equivalent courses relating to your degree will be listed by course title, credit hours per course, school course number identification and department name. If a thesis was submitted, the title shall also appear on the transcript. Your official transcript will reflect your accumulated grade average relating to your PORTFOLIO EVALUATION. All transcripts are signed by the school's registrar and embossed to insure authentic certification.

Your transcript and degree will not reflect that it was earned through an external degree program, or by correspondence unless you wish it stated. It will reflect equivalency transfer credits from other college and universities and credit allowed for past experience in field related subjects.

You may request your official transcript by submitting the transcript request form (enclosed with your degree) and a fee of $35.00 to Southwestern Alumni. Please note that Southwestern University provides full degree verification service to any persons or organizations that you wish to notify of your degree award. This verification via transcript can be provided in writing at any time after degree approval with your written permission as established by the Educational Privacy Act of 1974 which provides that all student records are confidential and will be released only with written permission of the graduating student.

Please note that your degree award is protected by all laws, rules and entities you to all rights and privileges governing your award. Membership in the SU alumni association is available upon final degree approval.

RECORDS STORAGE AND VERIFICATION

All degree award information (transcripts and evaluation portfolio) will be placed on permanent file in the registrars' records department. This information will be removed only upon requests for degree award verification.

TRANSFER OF CREDIT FROM S.U. TO OTHER SCHOOLS

Since the concept of the University is to serve the needs of mature men and women, transfer of credit is not a prime consideration. All colleges and universities maintain their own standards for admission and academic credit recognition. Acceptance of credit at another institution would have to be answered by the specific institution to which transfer of credit is sought. It would not be possible for Southwestern University to speak for another institution.

TRANSFER OF CREDIT TO S.U.

Credits for transfer are accepted from most accredited and non-accredited college and universities. Credits obtained from the military, seminars and other vocational and evening courses including correspondence courses are also accepted toward your degree award at S.U. Credit is also accepted from foreign colleges and universities.

ACADEMIC POLICIES

The University reserves the right to suspend or terminate immediately a student from a program for any of the following reasons:

1. Falsification of records or work submitted for evaluation review and credit.
2. Failure to submit proper required data as described in the degree requirement and fees section. The University will have to assume the student has dropped. Such students may re-apply within a 6 month period. Re-admission is contingent upon payment of full tuition or the balance thereof, plus a $50.00 charge for re-admission.
3. Failure to submit tuition payment as required.

CURRICULUM AND FEE CHANGES

In keeping with the University's philosophy of providing innovative study programs that respond to the needs of students, the University reserves the right to make modification in programs, content and curriculum structure. Programs are updated as new or current information becomes available. Please bear in mind that all degrees awarded, and there is never a cost for this, the costs are for various administrative outlays, postage, evaluation of credentials, etc.

LICENSES AND CREDENTIALS

The University's degree programs are not designed to meet any state licensing or credential regulations, nor to meet any requirements established by any private, independent professional associations. If licensing or credentialing is the objective of a degree program, students are advised to check the standards of their particular States, School Districts, Professional Associations and Agencies for specific license requirements. This should be done before applying for the program.

UNIVERSITY BOARD OF ADVISORS

The University Advisory Board Members and faculty evaluators are comprised of community leaders in business, industry, education and the professions. They also serve in an honorary capacity and provide guidance in matters of policy and curriculum development. The members share an enthusiasm for the non-traditional modes of education and the academic policies of the University. All "External" degree evaluators hold traditional college degrees from fully accredited colleges and universities.

UNIVERSITY HOURS/HOLIDAYS

The hours during which the program information center is open is from 8:00 a.m. to 8:00 p.m. (Arizona time) Monday through Friday. The Registrars Office is closed on Saturday and Sundays. The following U.S. holidays are observed: New Year's Day, Washington's Birthday, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and Christmas Day. Only the Business Office is open from December 26th through December 31st.

FEE REFUND POLICY

Southwestern University has adopted the following refund policy. Administration fees paid to the University will be reimbursed according to a formula dependent upon when the student enrolls and withdraws. All requests for withdrawal or refund of tuition paid by the student must be dated and submitted to the University by letter stating the reason(s) for withdrawal. Telephone requests cannot be accepted. No refund will be issued after the degree has been approved and posted. If a student withdraws prior to the degree evaluation a full refund is issued.

If the University does not accept the applicant, a full refund is issued to the applicant.

If the "external degree evaluation" is not favorable the student is not issued a degree. In this event a full refund will be issued immediately to the applicant with a cover letter indicating specific areas which the applicant needs improvement.

FACULTY MEMBERS

The faculty members of Southwestern University all share the basic concept of providing the mature adult with a flexible program designed to meet the unique needs of the University and student. Many are part time adjunct faculty. Each member has displayed both academic and practical leadership skills not merely as a classroom but more importantly in their chosen field. Confidence in the community, on the job with continued excellence and proven career achievements.

J. Albert M. Lettre', Ph.D. Business Administration; MAT. Johns Hopkins University; BS, University of Maryland.

Rustow D. Perrill, Ph.D., Business Education; Ph.D., Ohio State University; BA, Berry College; MABA GaVernon State University; MA, George Peabody College for Teachers.

Ruth J. McKinley, Ph.D., Psychology; MPH, University of Southern California; BA, University of California.

Harold H. Goldberg, Ph.D., Psychology Counseling; MA, New York University; BA, Washington Square College; MA, EdD, Columbia University.

Daniel W. Ham, Ph.D., Management Technology; LL, New York Institute of Technology; MS, George Washington University; BA, Johnson C. Smith University.

Gerald N. Unger, Ph.D., Physiology; Ph.D., University of Louisiana; NLT, Missouri College of Naturopathic Medicine; MS, University of South Florida.

I. M. Orjiugo, Ph.D., Electrical Engineering; MSEE, Cornell University; BSEE, University of Nigeria.

Robert J. Lafave Sr., Ph.D., Chemistry; D.C., Chiropractic College; DS, British Patriot College.

Noel W. Reitmeister, Ph.D., Economics; BA, Queens College; MBA, Rutgers College.

Emil P. Gula, MSIE, Industrial Engineering; BS, Tennessee Christian College.

Gary I. Nichols, Ph.D., Psychology Counseling; BS, Maine University.

Gilberto C. Figueroa, MA, Administration Management; BA, University of Puerto Rico.

Bobby R. Edwards Jr., MA, Secondary Education; BS, Delaware State University.

William J. Hanks, MA, Behavioral Science; BS, North Texas State University.

Victor J. Dos Marais Jr., Ph.D., Behavioral Science; MA, University of Maine; BA, University of San Francisco.

Theodore Ruby, Ph.D. Administration; MS, Southern Connecticut State University; BA, Quinnipiac College.

James Menoutis, Ph.D. Chemistry; BS, Jersey City State College.

Margaret I. Iwai Ly, Ph.D., Psychology Counseling; BS, University of Hawaii.

John W. Riddle, MS, Physical Science; BS, East Tennessee State University.

Francisco G. Lima, Ph.D. Psychology, University of Puerto Rico; BS, Tulane University.

Lenard B. Robertson, Ph.D., Business Administration; MBA, Southern Illinois University; BA, Upper Iowa University.

Vivian S. Jamison, Ph.D. Health Education; MSW, Howard University; BS, Central State University.

Paul R. Mc Dowell, Ph.D., Psychology Counseling; BS, MEd, Ohio State University; Ph.D., Candidate University of Iowa.

OTHER EXTERNAL DEGREE AND RESIDENCY PROGRAMS

If you wish to work toward your degree through one of our correspondence advisory external degree programs please call indicating such a desire. An advisor will briefly describe a program, cost, including an outline of the program desired. Please refer to **"Advisory External Degree Program"**. The completion time length depends on your existing qualifications, degree program desired and special project requirements. Also offered is a new **"Week-end Residency MBA Program"** of intensive lecture and study held once monthly designed to fit the needs of the busy adult job schedule.

CLASS RINGS: The University will send a brochure on request. The graduate will receive a brochure automatically upon graduation.

PROGRAM SUMMARY

The Trustees of the university have unanimously agreed that final degree approval will be determined by S.U. upon the submittal of your portfolio qualifications, application and full fee payment. A favorable evaluation is required for final approval of your university degree. No examination or residency will be required for final degree approval.

The evaluation of your portfolio is considered to be equivalent to the standard college equivalency tests offered by most traditional colleges in the world. Your degree will be issued upon approval of your qualifications by this evaluation process. Your records are placed in our permanent record file for future degree verification requests.

If you feel that your past education, formal or informal, life and practical job experience and other knowledge qualifies you for a degree, please accept our offer to apply for the external evaluation program. If you are not sure you qualify call the information center for counseling.

If you feel that you deserve to move up within your company or profession, then our doors are open to you as they are to every other worthy individual who has demonstrated achievement in his or her chosen field. It is our goal to provide to the mature man and woman the opportunity to earn a degree that they duly deserve through accumulated existing education, achievements and knowledge.

Southwestern University

On the recommendation of the Faculty and the
Board of Trustees, hereby confers upon

Clarence L. Summer

the degree of

Doctor of Philosophy in Counseling Psychology

With all the honors, rights, and privileges appertaining thereto in consideration of satisfactory completion of the requirements of study and training prescribed by the University. By the virtue of the authority vested in us by the State of Arizona is this day conferred from Tucson, Arizona. Signed and sealed this 1st day of June, 1981

John R. Thomas
President

Anthony J. Semonte
Chairman, Board of Trustees

SOUTHWESTERN UNIVERSITY

Address all correspondence to: ACADEMIC RECORDS
SOUTHWESTERN UNIVERSITY
RECORDS DEPT.
4621 North First Avenue Dept. 5
Tucson, Arizona 85718

FORMAL REQUEST FOR ACADEMIC TRANSCRIPT

I, the undersigned student, formally request (_____) Certified Transcript(s) to be mailed directly to me within two weeks. I understand that the fee for such transcript amounts to $35.00 for the first transcript and $5.00 each additional one. I have enclosed the proper fee payment amount in full.

Send My Official Transcript To:

Student Name: _____

Street or Box: _____

City: _____

State or Country: _____

Zip Code: _____

Company Name: _____

Street or Box: _____

City: _____

State or Country: _____

Zip Code: _____

Degree type:

Bachelor of: ARTS _____ SCIENCE _____

Doctor of: ARTS _____ SCIENCE _____

Master of: ARTS _____ SCIENCE _____

Ph. D. _____

Major field of study: _____

_____

My thesis or special project if required was titled

_____

_____

Degree award date: _____

Social Security Number _____

If you wish to have transcripts forwarded to a business or other institution, please provide this information above

Please make ALL checks payable to: SOUTHWESTERN UNIVERSITY

Please allow two weeks for preparation and forwarding of transcripts. Thank you for your cooperation and congratulations to you on your recent degree award.

Signed: _____

Date of Request: _____